



National Organic Program Accreditation Assessment Checklist	
Date:	
Assessment Identifier:	
Assessment Activity: (select one)	<input type="checkbox"/> Documentation Adequacy Review <input type="checkbox"/> Pre-decisional Assessment <input type="checkbox"/> Initial Assessment <input type="checkbox"/> Mid-Term Assessment <input type="checkbox"/> Renewal Assessment <input type="checkbox"/> Compliance Assessment <input type="checkbox"/> Other _____
Company Information	
Name of Company:	
Company Address:	
City, State, Zip:	
Contact Name:	
Title:	
Phone No.:	
Email Address:	
Location(s) of Program Activities:	
Standards Applied:	
Scope of Program Activities:	
Country(ies) of Operation:	
Assessment Team	
Team Leader:	
Second Auditor:	
Other (Identify Role):	



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1. PLANNING AND SCHEDULING OF THE ASSESSMENT

- ☐ Contact the NOP Accreditation and International Activities (AIA) Division Accreditation Manager and determine the scope of the assessment and the onsite assessment plan.
- ☐ Send an email using the appropriate template to schedule the onsite assessment. This should be done as early as possible. Planning of foreign assessments should start at least 6 months before the anticipated assessment date. Scheduling of domestic assessments should start no later than 3 months before the anticipated assessment date.
- ☐ Once the assessment date is scheduled with the accredited certifying agent (certifier), select the satellite office(s) and witness audit site(s) to be visited during the assessment. Check the AIA database and/or previous audit checklists for operations where witness inspections and review audits took place to avoid visiting the same operations.
- ☐ After the assessment sites and onsite schedule have been finalized, complete the audit plan, cost estimate, and appropriate letter regarding the assessment. Send these documents to the NOP Lead Auditor for review and approval.
- ☐ Send the above information via email using the appropriate template. *Remember to include attachments in the email and copy all of the personnel listed on the letter.*

2. PRE-ASSESSMENT ACTIVITIES

- ☐ Verify that the LPS-109 Application for Service is on file and is the current version. This does not apply to the pre-decisional assessment.
- ☐ Verify that form TM-10CG Application for Accreditation is on file and is the current version. This applies to initial and renewal applications only.
- ☐ Obtain and review the most recent copy of program documentation from the company.

Title of documentation:	
Date or revision number of documentation:	

- ☐ Review the previous audit report.
- ☐ Review the previous corrective actions report, as applicable.
- ☐ Review previous notices of noncompliance issued to the certifier.
- ☐ Receive approval to conduct the assessment activity by obtaining a signed copy of the audit plan and cost estimate from the client.



3. ONSITE ASSESSMENT ACTIVITIES

a. Opening Meeting

The purpose of the opening meeting is to confirm the assessment plan, provide a short summary of how the assessment activities will take place, confirm communication channels, and provide an opportunity for the client to ask questions.

- ☐ Introduction of participants and their roles.
- ☐ Confirmation of assessment objectives, scope, and criteria.
- ☐ Confirmation of assessment timetable and any other relevant arrangement.
- ☐ Review the assessment plan. Have there been any changes since it was approved?
 - ☐ No
 - ☐ Yes - What are the changes?
- ☐ Review the program documentation. Have there been any changes since the last assessment?
 - ☐ No
 - ☐ Yes - What are the changes?
- ☐ Have findings from previous assessments been addressed? (if applicable)
 - ☐ Yes
 - ☐ No
- ☐ Methods and procedures to be used to conduct the assessment.
- ☐ Confirmation of auditee's representative and formal communication channels.
- ☐ Confirmation that auditee will be kept informed of assessment process during the assessment.
- ☐ Confirmation that the resources and facilities needed by the assessment team are available.
- ☐ Confirmation of confidentiality matters.
- ☐ Confirmation of relevant work safety, emergency, and security procedures for the assessment team.
- ☐ Confirmation of the availability, roles, and identities of guides.



- ☐ Provide the method of reporting, and explain that findings (if any are identified) will not be classified as to severity. Determination of whether a finding is a noncompliance will be made by the NOP reviewer.
- ☐ Provide an opportunity for the client to ask questions.
- ☐ Explain the conditions under which the audit would be terminated.
- ☐ Explain that audit findings and associated information is releasable under the Freedom of Information Act (FOIA).
- ☐

b. Complete the following Attendance List:

Name	Title or Position	Opening	Closing



CHECKLIST		
SECTION I – General Information on Certification Process		
Table of Contents Closing Meeting Findings		
1	List the locations of offices where key activities occur including key activities performed.	
2	Note the number of operations certified to the NOP at the time of the assessment. Operations may hold more than one certification scope. Therefore the total number of certified operations might not be the sum of certification scopes issued.	Total: _____ NOP certified operations Crop: _____ Wild-crop: _____ Livestock: _____ Handlers: _____ Grower Groups: _____ Approximate Handler Types (optional): Processors: _____ Distributors: _____ Traders/Brokers: _____ Retailers: _____
3	What does the certifier submit to applicants on the initial application? § 205.501(a)(8)	
4	How are the information, documentation, and/or forms provided to those inquiring about certification? (i.e., hard copy, electronic, etc.)?	
5	Who (job title/position description) conducts the initial review for completeness and ability to comply? Table 8	
6	What is the certifier's process for verifying the legal status of clients?	
7	Who (job title/position description) reviews labels and material inputs?	
8	What is the certifier's process for conducting material reviews and making determinations on allowable vs. prohibited substances for those substances that have not been reviewed and approved by another entity? (See Policy Memo 11-4. This includes another certifier, the EPA, or an ISO Guide 65 accredited material evaluation program.)	
9	How are inspectors selected or assigned for inspections?	



CHECKLIST		
SECTION I – General Information on Certification Process		
Table of Contents Closing Meeting Findings		
10	Are they staff inspectors or subcontracted?	
11	Who (job title/position description) makes the certification decision?	
12	Provide a brief description of the annual update process. § 205.406 Table 3	
13	Who (job title/position description) reviews the inspection report, results of analysis conducted (as applicable), and information requested from and provided by the applicant? Table 8	
14	Who (job title/position description) makes the determination on whether to issue a notice of minor issues or noncompliance? Table 8	
15	When operations submit corrective actions or a rebuttal, who (job title/position description) reviews the materials and determines whether they are adequate? Table 8	
16	Are there any operations certified or undergoing the certification process that were reinstated after having been suspended or revoked?	
17	Does the certifier have a material evaluation program for liquid nitrogen fertilizers (LNF) with a nitrogen content greater than 3%?	
18	How many noncompliances have been issued since the prior onsite audit?	
19	How many unannounced inspections were conducted since the prior onsite audit? § 205.403(a)(2)(i-iii)	
20	Number of surrenders since the last onsite audit?	
21	Number of pesticide residue tests conducted during the calendar years since the last assessment.	
22	How many settlement agreements were established with operations since the prior onsite audit?	
23	Are settlement agreements in accordance with the guidance provided by the NOP training module?	



CERTIFIER OVERVIEW NARRATIVE:

Organizational Structure:

- Type of entity
- Accreditations
- Satellite offices and Key Activities conducted at each location
- Organizational structure
- Number and type of Contractors and Employees
- Staffing and personnel qualifications

Certification Process:

Describe the process for:

- New applicants
- Continuing operations (i.e., annual updates, etc.)
- Unannounced inspections conducted
- Grower group certification (if applicable)
- Material review process
- Label review process
- International exports and imports activities/oversight

Administrative Records and Processes:

- Quality Manual and Program Manual
- Forms/templates used
- Annual reviews
- Training: External, Internal, Proposed

Summary of Witness Inspections and Review Audits Conducted:

- Number and type of Witness and Review Audits
- Locations of operations
- Types of operations (handler, crop, etc.) and products produced or handled
- Types of inspections conducted (e.g., announced, unannounced, annual renewal, etc.) and/or the scope of the review audit
- Auditor's assessment of activities conducted



4. PROGRAM REQUIREMENTS

Exclusions: Sections not included or addressed in checklist

§ 205.502 Applying for Accreditation – Procedural requirements not addressed by auditors.
§ 205.505 Statement of Agreement – For reference only. If requirements are not met, cite to the appropriate section(s) of § 205.501.
§ 205.510(c) – (e) – AMS Administrator procedural requirements not addressed by auditors.

§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
References: NOP 2605 Reinstating Suspended Organic Operations PM 11-4 Evaluation of Materials Used in Organic Crop, Livestock, and Handling Operations NOP 5031 Certification Requirements for Handling Unpackaged Organic Products				
§§ 205.400(c) and 205.670(a) Is there any evidence that a certified operation denied access to a representative of the Administrator, State, or certifier? Table of Contents				

¹ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

² Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
§ 205.401 Are all applications complete and do the OSPs meet the requirements for an OSP? Table of Contents				Yes – as documented on Table 3 , all applications reviewed were complete and met the requirements for an OSP. No – as documented on Table 3 , all applications reviewed were not complete and/or did not meet the requirements for an OSP. As appropriate, noncompliances have been identified on Table 3.
§ 205.402(a)(1) Upon accepting applications does the certifier review the application for completeness? Table of Contents				Yes – as documented on Table 3 the certifier reviewed all applications for completeness. No – as documented on



§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
				Table 3 the certifier did not review all applications for completeness. As appropriate, NCs have been identified on Table 3.
§ 205.402(a)(2) Does the review include making a determination whether the applicant is in compliance or can comply with the requirements? Table of Contents				Yes – as documented on Table 3 all applications reviewed were reviewed by the certifier for compliance or the ability to comply. No – as documented on Table 3 not all applications were reviewed by the certifier for compliance or the ability to comply. As appropriate, NCs have been identified on Table 3, Tables 6a , 6b , or 6c .



§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
<p>§ 205.402(a)(3) Does the certifier verify that an applicant, who previously applied to another certifier and received a notification of noncompliance or denial of certification, has submitted documentation to support the correction of any noncompliances identified in the notification of noncompliance or denial of certification? Table of Contents</p>				<p>Yes – as documented on Table 3 the certifier verified previous certification activities and results.</p> <p>No – as documented on Table 3 the certifier did not verify previous certification activities and the results on all applications received. As appropriate, NCs have been identified on Table 3.</p>
<p>§ 205.402(b)(1) Is the time from receiving the application materials and the review reasonable? Table of Contents</p>				<p>Yes – as documented on Table 1 the time from receiving the application materials and the reviews were reasonable.</p> <p>No – as</p>



§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
				documented on Table 1 the time from receiving the application materials and the reviews was not always reasonable.
§ 205.402(b)(1) Is the time between receiving an application and communicating the results of the review to an applicant reasonable? Table of Contents				Yes – as documented on Table 1 the time from receiving the application materials and communicating the results was reasonable. No – as documented on Table 1 the time from receiving the application materials and communicating the results was not always reasonable.
§§ 205.402(b)(2) and 205.403(e)(2) Is a copy of the inspection report as approved by the certifier provided to that operation by the certifier? Table of Contents				



§§ 205.400, 205.401 and 205.402 General Requirements, Application, and Review

For audit purposes, § 205.400 or § 205.401 is to be referenced, as applicable. These are requirements for certified operations and not certifiers. If the requirements are not met, cite to the appropriate section—§ 205.402(a)(1) or (3)—and reference this section. The application requirements are reviewed when completing the Certification File Review Worksheets. An overall assessment based on all files reviewed, information gathered during the review of certification process, interviews, and Witness Audit Checklists should be made. Then identify findings under the appropriate requirement.

CHECKLIST SECTION II	Complies ¹			Remarks ²
	Yes	No	N/A	
§ 205.402(c) Did any clients withdraw their application(s) and if so, was the process in accordance with the requirements? Table of Contents				

§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
References: NOP 2609 Unannounced Inspections				
§ 205.403(a)(1) Does the certifier conduct initial onsite inspections of each production unit, facility, and site that produces or handles organic products and that is included in the operation for which certification is requested, on all applicants? Also see Continuing Certification (§ 205.406(b)) Table of Contents				
§§ 205.403(a)(2)(i)-(iii) Does the certifier conduct unannounced inspections on 5% of the total certified operations per year, or at least one (1) unannounced inspection per year if the certifier has less than 20 certified operations?				Yes – the certifier conducted unannounced inspections on 5% of the total certified

³ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

⁴ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
Table of Contents § 205.504(b)(2) Unannounced Inspections General Information Section				<p>operations in ____.</p> <p>or</p> <p>Yes – the certifier conducted at least one (1) unannounced inspection of a certified operation. <i>For either statement include objective evidence, including how many unannounced inspections were conducted, total number of certified operations, and the time period/year being discussed.</i></p> <p>No – as identified in § 205.501(a)(21) of this checklist, the certifier did not conduct unannounced inspections on 5% of the total certified operations per year.</p> <p>or</p> <p>No – as identified in § 205.501(a)(21) of this checklist, the certifier had ____ certified operations but did not conduct at least one (1)</p>



§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
				unannounced inspection per year. <i>For either statement include objective evidence, including how many unannounced inspections were conducted, total number of certified operations, and the time period/year being discussed.</i>
NOP 2609 Unannounced Inspections Are the certifier's written policies/procedures for conducting unannounced inspections and inspector access to certified facilities provided to all certified operations and inspectors? Table of Contents § 205.501(a)(8) § 205.504(b)(2) Unannounced Inspections				Yes – the certifier's written policies/procedures for conducting unannounced inspections and inspector access to certified facilities was provided to all certified operations and inspectors. No – the certifier's written policies/procedures for conducting unannounced inspections and inspector access to certified facilities was not provided to all certified operations and/or inspectors.



§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
				<i>For either statement include objective evidence.</i>
NOP 2609 Unannounced Inspections Were unannounced inspections conducted following the guidance of NOP 2609 and the certifier's policies/procedures; and was the reason the operation was chosen for the unannounced inspection disclosed to the operation? Table of Contents General Information Section				
§ 205.403(b)(1) Are all inspections conducted within a reasonable time after the determination that the applicant appears to comply or can comply with the requirements? Table of Contents				<p>Yes – as documented on Table 1 inspections were conducted within a reasonable time after the determination that the applicant appears to comply or could comply with the requirements.</p> <p>No – as documented on Table 1 inspections were not always conducted within a reasonable time after the determination that the applicant appeared to comply or could comply with the requirements.</p>



§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
§ 205.403(b)(2) Are all inspections conducted when an authorized representative of the operation who is <u>knowledgeable</u> about the operation is present <u>and</u> at a time when land, facilities, and activities that demonstrate the operation's compliance with or ability to comply with the applicable provisions of subpart C can be observed? Table of Contents				
§ 205.403(c)(1) Do all inspections verify the operation's compliance or ability to comply with the Act and the regulations? Table of Contents				
§ 205.403(c)(2) Do all inspections verify that the information (including the OSP) provided in accordance with §§ 205.401, 205.406, and 205.200, accurately reflect the practices used or to be used by the applicant or certified operation? Table of Contents				
§ 205.403(c)(3) Do all inspections verify that the operation had not applied and is not applying prohibited substances? Table of Contents Table 3				



§ 205.403 Inspection

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION III	Complies ³			Remarks ⁴
	Yes	No	N/A	
<p>§ 205.403(d) Do inspectors conduct an exit interview with an authorized representative of the operation who is knowledgeable about the inspected operation <u>to confirm the accuracy and completeness</u> of inspection observations and information gathered during the onsite inspection?</p> <p>Does the exit interview(s) address the need for any <u>additional information</u> as well as any <u>issues of concern</u>?</p> <p>Table of Contents Table 3</p>				



§ 205.404 Granting Certification

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION IV	Complies ⁵			Remarks ⁶
	Yes	No	N/A	
References: NOP 2603 Organic Certificates NOP 2605 Reinstating Suspended Organic Operations PM 11-4 Evaluation of Materials Used in Organic Crop, Livestock, and Handling Operations				
§ 205.404(a) Does the certifier meet the requirements of § 205.404(a) by: reviewing the inspection report, sample results, and any additional information within a <u>reasonable time</u> after the inspection; granting certification in all cases where it is determined that the OSP and the applicant’s operation are in compliance and is able to conduct operations in accordance with the plan; and (if the certification is granted and included requirements for the correction of minor noncompliances) <u>indicating</u> they have to be addressed within a specified time period as a condition of continued certification? Table of Contents				<p>Yes – as documented on Table 1 and Table 3 the certifier met the requirements of § 205.404(a) by reviewing the inspection report and additional documents within a reasonable time; granting certification when the applicants were in compliance; and indicating minor NCs had to be addressed within a specified time period.</p> <p>No – as documented on Table 1 and/or Table 3 the certifier did not meet the requirements of § 205.404(a).</p>

⁵ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

⁶ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.404 Granting Certification

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION IV	Complies ⁵			Remarks ⁶
	Yes	No	N/A	
§ 205.404(b) Does the certifier issue a certificate of organic operation in all cases where certification is granted? Table of Contents				Yes – as documented on Table 3 the certifier issued a certificate in all cases where certification was granted. No – as documented on Table 3 the certifier did not issue a certificate in all cases where certification was granted.
§ 205.404(b)(1) – (4) Do certificates issued by the certifier contain the required information? Do certificates issued by the certifier contain the additional information and statements recommended by NOP 2603? Table of Contents				Yes – as documented on Table 3 all certificates reviewed contained the required information. No – as documented on Table 3 not all certificates contained the required information. (b)(1) Name and Address (b)(2) Effective Date (b)(3) Category (b)(4) Certifying



§ 205.404 Granting Certification

Based on a review of the Certification File Review Worksheets, information gathered during the review of the certification process, interviews, and Witness Audit Checklists.

CHECKLIST SECTION IV	Complies ⁵			Remarks ⁶
	Yes	No	N/A	
				Agent Information Although not identified as a NC as documented on Table 3 not all certificates contained the additional information and statements as recommended by NOP 2603 .

§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
References: NOP 2607 Disclosure of Information Concerning Operations Certified Under the NOP NOP 4002 Enforcement of USDA Organic Regulations by Accredited Certifying Agents PM 11-4 Evaluation of Materials Used in Organic Crop, Livestock, and Handling Operations				
§ 205.405(a) Does the certifier <u>provide a written notification of noncompliance</u> to all applicants in cases where there was a reason to believe, based on the review, that the applicant was not able to comply or was not in compliance with the requirements? Table of Contents				Yes – as documented on Table 5 the certifier provided a written notification of noncompliance to all <u>applicants</u> who were not able to

⁷ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

⁸ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
				comply or were not in compliance with the requirements. No – State objective evidence, including NC's identified on Tables 6a , 6b , or 6c .
<p>§ 205.405(a) If the certifier issued any <u>combined notice</u> of noncompliance and denial of certification, does it meet the requirements for both notifications? Table of Contents</p>				<p>Yes – as documented on Table 5 the combined notice(s) of noncompliance and denial of certification that were issued met the requirements for both notifications.</p> <p>No – as documented on Table 5 the combined notice(s) of noncompliance and denial of certification that were issued did not meet the requirements for both notifications.</p> <p>N/A – no combined notice(s) of noncompliance and denial of</p>



§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
				certification were issued by the certifier.
<p>§ 205.405(a)(1) – (3) Do all notices of noncompliance that were issued contain the required information in accordance with §§ 205.405(a)(1) – (3)? Table of Contents</p>				<p>Yes – as documented on Table 5, notices of noncompliance that were issued contained the required information.</p> <p>No – as documented on Table 5, notices of noncompliance that were issued did not contain the required information.</p>
<p>§ 205.405(c)(1) In cases when the applicant provided corrective actions or a rebuttal, does the certifier:</p> <p>evaluate the rebuttal or corrective actions taken and supporting documentation;</p> <p>issue the applicant an approval of certification if the corrective action or rebuttal is sufficient for the applicant to qualify for certification; or</p> <p>issue the applicant a written notice of denial of certification when the corrective action or rebuttal <u>is not</u> sufficient for the applicant to qualify for certification? Table of Contents</p>				<p>Yes – as documented on Table 5, in cases when the <u>applicant</u> provided corrective actions or a rebuttal, the certifier took appropriate action in accordance with § 205.405(c)(1).</p> <p>No – as documented on Table 5, in cases when the <u>applicant</u> provided corrective</p>



§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
				actions or a rebuttal, the certifier did not always take appropriate action in accordance with § 205.405(c)(1).
§ 205.405(c)(2) Does the certifier issue a written notice of denial of certification to all applicants that failed to respond to a notification of noncompliance? Table of Contents				<p>Yes – as documented on Table 5, the certifier issued a written notice of denial of certification to applicants that failed to respond to the notification of noncompliance.</p> <p>No – as documented on Table 5, the certifier did not issue a written notice of denial of certification to applicants that failed to respond to the notification of noncompliance.</p>
§ 205.405(c)(3) Does the certifier provide all notices of approval or denials to the Administrator? Table of Contents				Yes – as identified in § 205.501(a)(15)(i) , all notices of approval or denials



§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
				were submitted to the Administrator. No – as identified in § 205.501(a)(15)(i) not all notices of approval or denials were submitted to the Administrator.
§§ 205.405(d), (d)(1) – (3) Do all issued denials of certification contain the required information in accordance with §§ 205.405(d), (d)(1) – (3)? Table of Contents				Yes – as documented on Table 5 , all denials of certification contained the required information. No – as documented on Table 5 , not all denials of certification contained the required information. N/A – the certifier did not issue any denials of certification.



§ 205.405 Denial of Certification

Based on a review of the Certification File Review Worksheets (including Table 4 - Notice of Noncompliance/Adverse Action Worksheet). Document on the Certification File Review Worksheet, "Table 5 - Notice of Noncompliance/Denial of Certification."

CHECKLIST SECTION V	Complies ⁷			Remarks ⁸
	Yes	No	N/A	
§ 205.405(f) If the certifier received new applications for certification, which included a notification of noncompliance or a notice of denial of certification, does the certifier <u>treat the application as a new application</u> and begin a new application process? Table of Contents				

§ 205.406 Continuation of Certification

Based on a review of the Certification File Review Worksheets, information gathered during a review of the certification process, interviews, and Witness Audit Checklists, describe the annual update process under "General information on Certification Process," Checklist Section I. Document requirement evaluations on the Certification File Review Worksheets and "Table 4 - Notice of Noncompliance/Adverse Action Worksheet" as applicable.

CHECKLIST SECTION VI	Complies ⁹			Remarks ¹⁰
	Yes	No	N/A	
References: NOP 2607 Disclosure of Information Concerning Operations Certified Under the NOP NOP 4002 Enforcement of the USDA Organic Regulations by Accredited Certifying Agents PM 11-4 Evaluation of Materials Used in Organic Crop, Livestock, and Handling Operations NOP 5031 Certification Requirements for Handling Unpackaged Organic Products				
§§ 205.406(a)(1) – (4) Do all certified operations submit an updated OSP and pay the annual certification fees as required by §§ 205.406(a)(1) – (4)? Table of Contents				Yes – as documented on Table 3 , all certified operations submitted an updated OSP and paid their annual certification fees as required.

⁹ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

¹⁰ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.406 Continuation of Certification

Based on a review of the Certification File Review Worksheets, information gathered during a review of the certification process, interviews, and Witness Audit Checklists, describe the annual update process under “General information on Certification Process,” Checklist Section I. Document requirement evaluations on the Certification File Review Worksheets and “Table 4 - Notice of Noncompliance/Adverse Action Worksheet” as applicable.

CHECKLIST SECTION VI	Complies ⁹			Remarks ¹⁰
	Yes	No	N/A	
				No – as documented on Table 3 , not all certified operations submitted an updated OSP and/or paid their annual certification fees as required.
§ 205.406(b) Following the receipt of an updated OSP does the certifier review it to see if the requirements of § 205.406(a) have been met? Table of Contents				Yes – as documented on Table 1 , after receipt the certifier reviewed all updated OSPs to see if they met the requirements. No – as documented on Table 1 , the certifier did not review all updated OSPs received to see if they met the requirements.
§§ 205.406(b) and 205.403(a)(1) Following the receipt of an updated OSP does the certifier within a reasonable time arrange and conduct an onsite inspection? Also see Onsite Inspection (§ 205.403(a)(1)) Table of Contents				Yes – as documented on Table 1 , after receipt of updated OSPs the certifier conducted an onsite



§ 205.406 Continuation of Certification

Based on a review of the Certification File Review Worksheets, information gathered during a review of the certification process, interviews, and Witness Audit Checklists, describe the annual update process under “General information on Certification Process,” Checklist Section I. Document requirement evaluations on the Certification File Review Worksheets and “Table 4 - Notice of Noncompliance/Adverse Action Worksheet” as applicable.

CHECKLIST SECTION VI	Complies ⁹			Remarks ¹⁰
	Yes	No	N/A	
				inspection within a reasonable time. No – as documented on Table 1 , after receipt of updated OSPs the certifier did not conduct all onsite inspections within a reasonable time.
§ 205.406(c) Does the certifier provide a written notification of noncompliance to all operations in accordance with § 205.662 if the certifier had reason to believe, based on the onsite inspection and a review of the information specified in § 205.404, that a certified operation is not complying with the requirements of the Act and the regulations? Table of Contents §205.662(a) Table 3				Yes – as documented on Table 4 and § 205.662(a) of this checklist, after the onsite inspection and a review of the information specified in § 205.404 the certifier issued a notification of noncompliance to operations that did not comply with the requirements. No – as documented on Table 4 or Tables 6a , 6b , or 6c , and § 205.662(a) of this



§ 205.406 Continuation of Certification

Based on a review of the Certification File Review Worksheets, information gathered during a review of the certification process, interviews, and Witness Audit Checklists, describe the annual update process under “General information on Certification Process,” Checklist Section I. Document requirement evaluations on the Certification File Review Worksheets and “Table 4 - Notice of Noncompliance/Adverse Action Worksheet” as applicable.

CHECKLIST SECTION VI	Complies ⁹			Remarks ¹⁰
	Yes	No	N/A	
				checklist after the onsite inspection and a review of the information specified in § 205.404 the certifier did not issue a notification of noncompliance to all operations that did not comply with the requirements.
<p>§ 205.406(d) Does the certifier issue an updated certificate for all certified operations that were in compliance with the Act and the regulations if any information specified on the previous certificate changed? Table of Contents</p>				<p>Yes – as documented on Table 3, the certifier issued updated certificates for all certified operations that were in compliance with the Act when any information specified on the previous certificate changed.</p> <p>No – as documented on Table 3, the certifier did not issue updated certificates for all certified operations</p>



§ 205.406 Continuation of Certification

Based on a review of the Certification File Review Worksheets, information gathered during a review of the certification process, interviews, and Witness Audit Checklists, describe the annual update process under “General information on Certification Process,” Checklist Section I. Document requirement evaluations on the Certification File Review Worksheets and “Table 4 - Notice of Noncompliance/Adverse Action Worksheet” as applicable.

CHECKLIST SECTION VI	Complies ⁹			Remarks ¹⁰
	Yes	No	N/A	
				that were in compliance with the Act when any information specified on the previous certificate changed.

§ 205.501 General Requirements for Accreditation

CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
References: NOP 2000 Accreditation Policies and Procedures NOP 2026 Submitting Annual Lists of Certified Operations NOP 2606 Processing Requests for Temporary Variances NOP Appeals Procedure: Adverse Action Appeal Process – Certified Operation or Applicant for Certification PM 11-8 California State Organic Program, Additional Requirements Granted				
§ 205.501(a)(1) Does the certifier have <u>sufficient expertise</u> in organic production or handling techniques to fully comply with and implement the terms and conditions of the organic certification program? Table of Contents				Yes – as documented on Table 8 and personnel interviews conducted. (Auditor should revise statement as appropriate.) No – as

¹¹ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

¹² Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
				documented on Table 8 and personnel interviews conducted, the certifier does not have sufficient expertise in organic production and handling techniques to fully comply with the terms and conditions of the organic certification program. (<i>Auditor should revise statement as appropriate and be specific to area that is lacking.</i>)
§ 205.501(a)(2) Does the certifier <u>demonstrate the ability</u> to fully comply with the requirements for accreditation? Table of Contents				
§205.501(a)(3) Does the certifier <u>carry out the provisions</u> of the Act and the regulations, including the provisions of §§ 205.402 through 205.406 and 205.670? Table of Contents				
§ 205.501(a)(4) Does the certifier use a <u>sufficient number of adequately trained personnel</u> , including inspectors and certification review personnel, to comply with and implement the organic certification program? Table of Contents				Yes – as documented on Table and/or personnel interviews conducted, the certifier had a sufficient number of adequately trained personnel. (<i>Auditor should</i>



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
				<i>revise statement as appropriate.)</i> No – as documented on Table 8 and/or personnel interviews conducted, the certifier did not have a sufficient number of adequately trained personnel. (<i>Auditor should revise statement as appropriate and be specific to area that is lacking— inspectors, certification personnel, etc.</i>)
§ 205.501(a)(5) Does the certifier ensure certification personnel <u>have sufficient expertise</u> in organic production or handling techniques to successfully perform the duties assigned? Table of Contents				Yes – as documented on Table 8 , the certifier ensured certification personnel had sufficient expertise in organic production or handling techniques. No – as documented on Table 8 and/or personnel interviews conducted, the



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
				certifier did not ensure certification personnel had sufficient expertise in organic production or handling techniques. <i>(Auditor should revise statement as appropriate and be specific to area that is lacking—inspectors, certification personnel, etc.)</i>
§ 205.501(a)(6) Does the certifier conduct annual <u>performance evaluations</u> of all certification personnel in accordance with § 205.501(a)(6)? Table of Contents				Yes – as documented on Table 8 , the certifier conducted performance evaluations of all certification personnel as required. No – as documented on Table 8 , the certifier did not conduct performance evaluations of all certification personnel as required.



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
<p>§ 205.501(a)(7) Does the certifier have <u>an annual program review</u> of its certification activities conducted by someone who has expertise to conduct the reviews?</p> <p>Does the certifier <u>implement measures to correct</u> any noncompliances that are identified in the evaluation? Table of Contents</p>				
<p>§ 205.501(a)(8) Does the certifier <u>provide sufficient information</u> to persons seeking certification to enable them to comply with the Act and the regulations? Table of Contents General Information Section</p>				
<p>§ 205.501(a)(9) Does the certifier <u>maintain all records</u> pursuant to §205.510(b) and make all such records available for inspection and copying during normal business hours? Table of Contents Table 7b</p>				
<p>§ 205.501(a)(10) Does the certifier <u>maintain strict confidentiality</u> with respect to its clients and not disclose to third parties any business-related information concerning any client obtained while implementing the regulations, except as provided for in § 205.504(b)(5)? Table of Contents § 205.504(b)(4)</p>				
Does the certifier prevent conflicts of interest by:				
<p>§ 205.501(a)(11)(i) Not certifying a production or handling operation if the <u>certifier or a responsibly connected party</u> of such certifier has or has held a commercial interest in the production or handling operation? Table of Contents Table 8 Table 8 Findings</p>				



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
<p>§ 205.501(a)(11)(ii) <u>Excluding any person, including contractors, with conflicts of interest from work, discussions, and decisions in all stages of the certification process and the monitoring of certified operations for all entities in which such person has or has held a commercial interest.</u> Table of Contents Table 8 Table 8 Findings</p>				
<p>§ 205.501(a)(11)(iii) Not permitting any employee, inspector, contractor, or other personnel <u>to accept payment, gifts, or favors of any kind, other than prescribed fees, from any business inspected.</u> Table of Contents</p>				
<p>§ 205.501(a)(11)(iv) <u>Not giving advice or providing consultancy services, to certification applicants or certified operations, for overcoming identified barriers to certification.</u> Table of Contents See NOP 2614 Technical Assistance, for guidance.</p>				
<p>§ 205.501(a)(11)(v) Requiring all certification personnel and responsibly connected parties to complete an <u>annual conflict of interest disclosure report.</u> Table of Contents</p>				<p>Yes – as documented on Table 8, the certifier required all certification personnel and responsibly connected parties to complete an annual conflict of interest disclosure report.</p> <p>No – as documented on Table 8, the certifier did not require all</p>



§ 205.501 General Requirements for Accreditation				
CHECKLIST SECTION VII	Complies ¹¹			Remarks ¹²
	Yes	No	N/A	
				certification personnel and responsibly connected parties to complete an annual conflict of interest disclosure report.
§ 205.501(a)(11)(vi) Ensuring that the <u>decision to certify</u> an operation is made by a person different from those who conducted the review of documents and onsite inspection. Table of Contents				<p>Yes – as documented on Table 1, the decision to certify an operation was made by a person different from those who conducted the review of documents and onsite inspection.</p> <p>No – as documented on Table 1, the decision to certify an operation was not always made by a person different from those who conducted the review of documents and onsite inspection.</p>



A private or governmental entity accredited as a certifier under this subpart must:				
<p>§ 205.501(a)(12)(i) <u>Reconsider a certified operation's application</u> for certification and, if necessary, perform a new onsite inspection when it is determined, within 12 months of certifying the operation that any person participating in the certification process and covered under § 205.501(a)(11)(ii) has or <u>had a conflict of interest</u> involving the applicant. Table of Contents Table 8 Table 8 Findings</p>				
<p>§ 205.501(a)(12)(ii) <u>Refer a certified operation</u> to a different certifier for recertification and reimburse the operation for the cost of the recertification when it is determined that any person covered under § 205.501(a)(11)(i) at the time of certification of the applicant <u>had a conflict of interest</u> involving the applicant. Table of Contents Table 8 Table 8 Findings</p>				
<p>§ 205.501(a)(13) <u>Accept the certification decisions</u> made by another certifier accredited or accepted by USDA. Table of Contents</p>				
<p>§ 205.501(a)(14) <u>Refrain from making false or misleading claims</u> about its accreditation status, the USDA accreditation program for certifiers, or the nature or qualities of products labeled as organically produced. Table of Contents</p>				



<p>§ 205.501(a)(15)(i) <u>Submit to the Administrator</u> a copy of: Any notice of denial of certification (§ 205.405); notification of noncompliance; notification of noncompliance correction; notification of proposed suspension or revocation; and notification of suspension or revocation (§ 205.662) simultaneously with its issuance. Table of Contents § 205.405(c)(3)</p>				<p>Yes – as documented in § 205.405(c)(3) of the checklist and Table 4, the certifier submitted all notifications to the Administrator as required.</p> <p>No – as documented in § 205.405(c)(3) of the checklist and/or Table 4, the certifier did not submit all notifications to the Administrator as required.</p>
<p>§ 205.501(a)(15)(ii) <u>Submit to the Administrator</u> a list, on January 2 of each year, including the name, address, and telephone number of each operation granted certification during the preceding year. Table of Contents</p>				
<p>§ 205.501(a)(16) <u>Charge applicants</u> for certification and certified production and handling operations only those fees and charges for certification activities that it has filed with the Administrator (to include any fees charged for unannounced inspections). Table of Contents <u>Also see Fee Schedule</u></p>				
<p>§ 205.501(a)(17) Pay and submit fees to AMS in accordance with § 205.640. Table of Contents</p>				



<p>§ 205.501(a)(18) <u>Provide the inspector</u>, prior to each onsite inspection, with previous onsite inspection reports, and <u>notify the inspector</u> of its decision regarding certification of the operation site inspected by the inspector and of any requirements for the correction of minor noncompliances. Table of Contents</p>				
<p>§ 205.501(a)(19) <u>Accept all production or handling applications</u> that fall within its area(s) of accreditation and certify all qualified applicants, to the extent of its administrative capacity to do so without regard to size or membership in any association or group. Table of Contents</p>				
<p>§ 205.501(a)(20) Demonstrate its ability to <u>comply with a State's organic program</u> to certify organic production or handling operations within the State. Table of Contents</p>				
<p>§ 205.501(a)(21) Comply with, implement, and <u>carry out any other terms and conditions</u> determined by the Administrator to be necessary. Table of Contents</p>				
<p>§ 205.501(b)(1) A private or governmental entity accredited as a certifier under this subpart may establish a seal, logo, or other identifying mark to be used by production and handling operations certified by the certifier to indicate affiliation with the certifier. <i>Provided, That, the certifier:</i> <u>Does not require use of</u> its seal, logo, or other identifying mark on any product sold, labeled, or represented as organically produced as a condition of certification. Table of Contents</p>				



<p>§ 205.501(b)(2) <i>Provided, That, the certifier:</i></p> <p><u>Does not require compliance</u> with any production or handling practices <u>other than those provided</u> for in the Act and the regulations in this part as a condition of using its identifying mark.</p> <p>Table of Contents</p>				
A private entity accredited as a certifier must:				
<p>§ 205.501(c)(1) Hold the Secretary harmless for any failure on the part of the certifier to carry out the provisions of the Act and the regulations in this part.</p> <p>Table of Contents</p>				
<p>§ 205.501(c)(2) Furnish reasonable security, in an amount and according to such terms as the Administrator may by regulation prescribe, for the purpose of protecting the rights of operations certified by the certifier under the Act and the regulations.</p> <p>Table of Contents</p>				
<p>§ 205.501(c)(3) Transfer to the Administrator and make available to any applicable State organic program's governing State official all records or copies of records concerning the person's certification activities in the event that the certifier dissolves or loses its accreditation.</p> <p>Table of Contents</p>				
<p>§ 205.501(d) No private or governmental entity accredited as a certifier under this subpart shall exclude from participation in or deny the benefits of the National Organic Program to any person due to discrimination because of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, or marital or family status.</p> <p>Table of Contents</p>				



§ 205.503 Applicant Information

This section of the checklist should be completed only if conducting an initial assessment, annual update assessment, or renewal assessment. If during any onsite assessment there is objective evidence that required information was not submitted, then cite under the appropriate requirement.

CHECKLIST SECTION VIII	Complies ¹³			Remarks ¹⁴	
	Yes	No	N/A		
References: NOP 2000 Accreditation Policies and Procedures NOP Appeals Procedure: Adverse Action Appeal Process – Certified Operation or Applicant for Certification					
A private or governmental entity seeking accreditation as a certifier must submit the following information:					
§ 205.503(a) The business name, primary office location, mailing address, name of the person(s) responsible for the certifier's day-to-day operations, contact numbers (telephone, facsimile, and Internet address) of the applicant, and, for an applicant who is a private person, the entity's taxpayer identification number; Table of contents					
§ 205.503(b) The name, office location, mailing address, and contact numbers (telephone, facsimile, and Internet address) for each of its organizational units, such as chapters or subsidiary offices, and the name of a contact person for each unit; Table of contents					
§ 205.503(c) Each area of operation (crops, wild crops, livestock, or handling) for which accreditation is requested and the estimated number of each type of operation anticipated to be certified annually by the applicant along with a copy of the applicant's schedule of fees for all services to be provided under these regulations by the applicant; Table of contents					

¹³ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

¹⁴ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.503 Applicant Information

This section of the checklist should be completed only if conducting an initial assessment, annual update assessment, or renewal assessment. If during any onsite assessment there is objective evidence that required information was not submitted, then cite under the appropriate requirement.

CHECKLIST SECTION VIII	Complies ¹³			Remarks ¹⁴
	Yes	No	N/A	
§ 205.503(d)(1) The type of entity the applicant is (e.g., government agricultural office, for-profit business, not-for-profit membership association) and for: A governmental entity, a copy of the official's authority to conduct certification activities under the Act and the regulations in this part, Table of contents				
§ 205.503(d)(2) The type of entity the applicant is (e.g., government agricultural office, for-profit business, not-for-profit membership association) and for: A private entity, documentation showing the entity's status and organizational purpose, such as articles of incorporation and bylaws or ownership or membership provisions, and its date of establishment; Table of contents				
§ 205.503(e) A list of each State or foreign country in which the applicant currently certifies production and handling operations and a list of each State or foreign country in which the applicant intends to certify production or handling operations. Table of contents				



§ 205.504 Evidence of Expertise and Ability

This section of the checklist should be completed only if conducting an initial assessment, annual update assessment, or renewal assessment. If during any onsite assessment there is objective evidence that required information was not submitted then cite under the appropriate requirement.

CHECKLIST SECTION IX	Complies ¹⁵			Remarks ¹⁶	
	Yes	No	N/A		
References: NOP 2000 Accreditation Policies and Procedures NOP 2609 Unannounced Inspections NOP Appeals Procedure: Adverse Action Appeal Process – Certified Operation or Applicant for Certification					
Personnel					
§ 205.504(a)(1) A copy of the applicant's policies and procedures for training, evaluating, and supervising personnel; Table of Contents					
§ 205.504(a)(2) The name and position description of all personnel to be used in the certification operation, including administrative staff, certification inspectors, members of any certification review and evaluation committees, contractors, and all parties responsibly connected to the certifier; Table of Contents Table 8 Table 8 Findings					
§ 205.504(a)(3)(i) A description of the qualifications, including experience, training, and education in agriculture, organic production, and organic handling, for each inspector to be used by the applicant: Table of Contents Table 8 Table 8 Findings					

¹⁵ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

¹⁶ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.504 Evidence of Expertise and Ability

This section of the checklist should be completed only if conducting an initial assessment, annual update assessment, or renewal assessment. If during any onsite assessment there is objective evidence that required information was not submitted then cite under the appropriate requirement.

CHECKLIST SECTION IX	Complies ¹⁵			Remarks ¹⁶
	Yes	No	N/A	
§ 205.504(a)(3)(ii) and for Each person to be designated by the applicant to review or evaluate applications for certification: Table of Contents Table 8 Table 8 Findings				
§ 205.504(a)(4) A description of any training that the applicant has provided or intends to provide to personnel to ensure that they comply with and implement the requirements of the Act and the regulations in this part. Table of Contents				
Administrative Policies and Procedures				
§ 205.504(b)(1) A copy of the procedures to be used to evaluate certification applicants, make certification decisions, and issue certification certificates; Table of Contents				
§ 205.504(b)(2) A copy of the procedures to be used for reviewing and investigating certified operation compliance with the Act and the regulations in this part and the reporting of violations of the Act and the regulations in this part to the Administrator; Table of Contents				



§ 205.504 Evidence of Expertise and Ability

This section of the checklist should be completed only if conducting an initial assessment, annual update assessment, or renewal assessment. If during any onsite assessment there is objective evidence that required information was not submitted then cite under the appropriate requirement.

CHECKLIST SECTION IX	Complies ¹⁵			Remarks ¹⁶
	Yes	No	N/A	
§ 205.504(b)(2) Do the procedures to be used for reviewing and investigating certified operation compliance with the Act and the regulations include conducting unannounced inspections at a rate in accordance with NOP 2609 Unannounced Inspections and inspector access to certified facilities? (<i>This can be a separate policy/procedure.</i>) Table of Contents § 205.403(a)(2)(i)-(iii)				
§ 205.504(b)(3) A copy of the procedures to be used for complying with the recordkeeping requirements set forth in § 205.501(a)(9) ; Table of Contents § 205.510(b)				
§ 205.504(b)(4) A copy of the procedures to be used for maintaining the confidentiality of any business-related information as set forth in § 205.501(a)(10) ; Table of Contents				
§ 205.504(b)(5) A copy of the procedures to be used, including any fees to be assessed, for making the information required under this clause available to any member of the public upon request; Table of Contents § 205.501(a)(10)				
§ 205.504(b)(6) A copy of the procedures to be used for sampling and residue testing pursuant to § 205.670. Table of Contents				



Conflicts of Interest				
<p>§ 205.504(c)(1) A copy of procedures intended to be implemented to prevent the occurrence of conflicts of interest, as described in § 205.501(a)(11). Table of Contents</p>				
<p>§ 205.504(c)(2) A conflict of interest disclosure report, identifying any food- or agriculture-related business interests, including business interests of immediate family members, that cause a conflict of interest for all personnel required by this section and § 205.501(a)(11)(v). Table of Contents</p>				
An applicant who currently certifies production or handling operations must submit:				
<p>§ 205.504(d)(1) A list of all production and handling operations currently certified by the applicant. Table of Contents</p>				
<p>§ 205.504(d)(2) Copies of at least three (3) different inspection reports and certification evaluation documents for production or handling operations certified by the applicant during the previous year for each area of operation for which accreditation is requested. Table of Contents</p>				
<p>§ 205.504(d)(3) The results of any accreditation process of the applicant's operation by an accrediting body during the previous year for the purpose of evaluating its certification activities. Table of Contents</p>				
<p>§ 205.504(e) Any other information the applicant believes may assist in the Administrator's evaluation of the applicant's expertise and ability. Table of Contents</p>				



§ 205.510 Annual Report, Recordkeeping, and Renewal of Accreditation				
CHECKLIST SECTION X	Complies ¹⁷			Remarks ¹⁸
	Yes	No	N/A	
An accredited certifier must submit annually to the Administrator, on or before the anniversary date of the issuance of the notification of accreditation, the following reports and fees:				
§ 205.510(a)(1) A complete and accurate update of information submitted pursuant to §§ 205.503 and 205.504; Table of Contents				
§ 205.510(a)(2) Information supporting any changes being requested in the areas of accreditation described in § 205.500; Table of Contents				
§ 205.510(a)(3) A description of the measures implemented in the previous year and any measures to be implemented in the coming year to satisfy any terms and conditions determined by the Administrator to be necessary, as specified in the most recent notification of accreditation or notice of renewal of accreditation; Table of Contents				
§ 205.510(a)(4) The results of the most recent performance evaluations and annual program review and a description of adjustments to the certifier's operation and procedures implemented or to be implemented in response to the performance evaluations and program review; and Table of Contents				
§ 205.510(a)(5) The fees required in § 205.640(a). Table of Contents				

¹⁷ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

¹⁸ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



Certifiers must maintain records according to the following schedule:				
§ 205.510(b)(1) Records <u>obtained from</u> applicants for certification and certified operations must be maintained for <u>not less than 5 years</u> beyond their receipt; Table of Contents § 205.501(a)(9)				
§ 205.510(b)(2) Records <u>created by</u> the certifier regarding applicants for certification and certified operations must be maintained for <u>not less than 10 years beyond</u> their creation; and Table of Contents				
§ 205.510(b)(3) Records <u>created or received</u> by the certifier pursuant to the <u>accreditation requirements</u> of subpart F, <u>excluding</u> any records covered by § 205.510(b)(2), must be maintained for <u>not less than 5 years</u> beyond their creation or receipt. Table of Contents				
Amending Accreditation				
§ 205.510(f) Amendment to scope of an accreditation may be requested at any time. The application for amendment shall be sent to the Administrator and shall contain information applicable to the requested change in accreditation, a complete and accurate update of the information submitted pursuant to §§ 205.503 and 205.504, and the applicable fees required in § 205.640. Table of Contents				



§ 205.642 Fee Schedule				
Document on Certification File Review Checklist and Certification File Review Worksheets.				
CHECKLIST SECTION XI	Complies ¹⁹			Remarks ²⁰
	Yes	No	N/A	
§ 205.642 Are the fees charged reasonable?				
§205.642 Is the fee schedule that was submitted to applicants the same as the one provided to the Administrator? Table of contents				Yes – As documented on Table 3 , the fee schedule provided to applicants was the same as the one provided to the Administrator. No – As documented on Table 3 , the fee schedule provided to applicants was not the same as the one provided to the Administrator.
§§ 205.501(a)(16) and 205.642 Are the fees charged to operations for certification consistent with the fee schedule filed with the Administrator, to include any fees charged for unannounced inspections? Table of contents § 205.501(a)(16) NOP 2609 Unannounced Inspections				Yes – As documented on Table 3 , the fees charged to operations for certification were consistent with the fee schedule filed with the Administrator. No – As documented on Table 3 , the fees charged to

¹⁹ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

²⁰ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.642 Fee Schedule

Document on Certification File Review Checklist and Certification File Review Worksheets.

CHECKLIST SECTION XI	Complies ¹⁹			Remarks ²⁰
	Yes	No	N/A	
				operations for certification were not consistent with the fee schedule filed with the Administrator.
§ 205.642 Are all applicants provided with an estimate of the total cost of certification and an estimate of the annual cost of updating the certification? Table of contents				Yes – As documented on Table 3 , all operations were provided an estimate. No – As documented on Table 3 , all operations were not provided an estimate.
§ 205.642 Are the nonrefundable portions of certification fees and the stages at which they become nonrefundable explained in the fee schedule submitted to the Administrator? Table of contents				
§ 205.642 Does the certifier provide a copy of the fee schedule to anyone inquiring about the application process? Table of contents				



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/ Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
References: NOP 2607 Disclosure of Information Concerning Operations Certified Under the NOP NOP 4001 Complaint Handling Procedure NOP 4002 Enforcement of the USDA Organic Regulations by Accredited Certifying Agents NOP Appeals Procedure: Adverse Action Appeal Process – Certified Operation or Applicant for Certification				
§ 205.661(a) If the certifier conducts any investigations of complaints of noncompliance concerning production and handling operations certified as organic by the certifier, does the certifier notify the Program Manager of all compliance proceedings and actions taken? Table of Contents				
§ 205.662(a) In all cases when an inspection, review, or investigation of a certified operation by the certifier or a State organic program reveals any noncompliance with the Act or regulations, is a written notification of noncompliance sent to the certified operation? Table of Contents § 205.406(c)				Yes – As documented on Table 4 , written notifications of NCs were sent to certified operations as appropriate. No – As documented on Table 4 , written notifications of NCs were not sent to certified operations as appropriate.

²¹ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

²² Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/ Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
<p>§ 205.662(a)(1) – (3) Do all Notifications of Noncompliance include: a description of each noncompliance; the facts upon which the notification of noncompliance is based; and the date by which the certified operation must rebut or correct each noncompliance and submit supporting documentation? Table of Contents</p>				<p>Yes – As documented on Table 4 (Continuing) or Table 5 (Denial), written notifications of NCs included the required information.</p> <p>No – As documented on Table 4 (Continuing) or Table 5 (Denial), written notifications of NCs did not include all required information.</p>
<p>§ 205.662(b) Does the certifier send the certified operation a written notification of noncompliance resolution after the certified operation demonstrates that each noncompliance is resolved? Table of Contents</p>				<p>Yes – As documented on Table 4, a written notification of NC resolution was sent to certified operations after they demonstrated that each NC was resolved.</p> <p>No – As documented on Table 4, a written notification of NC resolution was not</p>



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/ Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
				sent to all certified operations after they demonstrated that each NC was resolved.
<p>§ 205.662(c) If rebuttal is unsuccessful or the correction of the noncompliance is not completed in the prescribed time period, does the certifier send the certified operation a written notice of proposed suspension or revocation of certification of the entire operation or a portion of the operation, as applicable to the noncompliance? Table of Contents</p>				<p>Yes – As documented on Table 4, a written notice of proposed suspension or revocation was sent to certified operations as appropriate.</p> <p>No – As documented on Table 4, a written notice of proposed suspension or revocation was not sent to all certified operations as appropriate.</p>
<p>§§ 205.662(c)(1) – (4) Do all Notifications of Proposed Suspension / Proposed Revocations include: the reasons for the proposed suspension or revocation; the proposed effective date of such suspension or revocation; the impact of a suspension or revocation on future eligibility for certification; and the right to request mediation pursuant to § 205.663 or to file an appeal pursuant to § 205.681? Table of Contents</p>				<p>Yes – As documented on Table 4, all notifications of proposed suspension or revocation issued to certified operations contained the required information.</p>



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/ Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
				No – As documented on Table 4 , not all notifications of proposed suspension or revocation issued to certified operations contained the required information.
§ 205.662(d) If the certifier or State organic program has reason to believe that a certified operation willfully violated the Act or regulations, the certifier or State organic program shall send the certified operation a notification of proposed suspension or revocation of certification of the entire operation or a portion of the operation, as applicable to the noncompliance. Table of Contents				Yes – As documented on Table 4 , notification of proposed suspension or revocation was sent when the certifier had a reason to believe the certified operation willfully violated the Act or regulations. No – As documented on Table 4 the certifier had reason to believe a certified operation willfully violated the Act or regulations but did not send a notification of



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/ Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
				<p>proposed suspension or revocation as required.</p> <p>N/A – there were no willful violations identified by the certifier.</p>
<p>§ 205.662(e)(1) Does the certifier or State program send the certified operation a written notification of suspension or revocation in all cases that a certified operation failed to correct the noncompliance, to resolve the issue through rebuttal or mediation, or to file an appeal of the proposed suspension or revocation of certification? Table of Contents</p>				<p>Yes – As documented on Table 4, a notification of suspension or revocation was sent to all certified operations which failed to: correct the NC; resolve the NC through rebuttal or mediation; or file an appeal.</p> <p>No – As documented on Table 4, a notification of suspension or revocation was not sent to all certified operations which failed to: correct the NC; resolve the NC through rebuttal or mediation; or file an appeal.</p>



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, "Table 4 - Notice of Noncompliance/
Adverse Action Worksheet."

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
§ 205.662(e)(2) Has the certifier or State program sent a notice of Suspension / Revocation during the time a final resolution of either mediation or appeal is pending for a certified operation which requested either one? Table of Contents				<p>Yes (certifier does not comply) – As documented on Table 4, a notification of suspension or revocation was sent to a certified operation during the time mediation and/or an appeal was pending.</p> <p>No (certifier complies) – As documented on Table 4, a notification of suspension or revocation was not sent to any certified operation during the time mediation and/or an appeal was pending.</p> <p>N/A – there were no requests for mediation or appeals filed.</p>
§ 205.662(g) Violations of Act Has the certifier fined operations as a result of any noncompliance issues? Table of Contents				



§ 205.661 Investigation of Certified Operations
§ 205.662 Noncompliance Procedure for Certified Operations

Document on Certification File Review Worksheet, “Table 4 - Notice of Noncompliance/ Adverse Action Worksheet.”

CHECKLIST SECTION XII	Complies ²¹			Remarks ²²
	Yes	No	N/A	
§ 205.660(d) Are all notifications of noncompliance, rejections of mediation, noncompliance resolutions, proposed suspensions or revocations, and suspensions or revocations issued and each response to such notification sent to the recipient’s place of business via a delivery service which provides dated return receipts? Table of Contents				<p>Yes – As documented on Table 4, all notifications were sent to the recipient’s place of business via a delivery service which provided dated return receipts.</p> <p>No – As documented on Table 4, not all notifications were sent to the recipient’s place of business via a delivery service which provided dated return receipts.</p>

§ 205.663 Mediation

Mediation procedures are applicable to certified operations that have received a denial of certification, a notification of proposed suspension, a notification of proposed revocation, or a notification of noncompliance that is combined with a denial, proposed suspension, or proposed revocation. Mediation procedures do not apply to operations that have received a notification of noncompliance with no adverse action.



CHECKLIST SECTION XIII	Complies ²³			Remarks ²⁴
	Yes	No	N/A	
§ 205.663 In all instances where mediation is requested, is the request from the applicant or certified operation in writing? Table of Contents				
§ 205.663 If the certifier rejects the request, is the notification to reject the request of mediation sent to the operation in writing? Table of Contents				
§ 205.663 Does the notification to reject the request of mediation advise the operation of their right to request an appeal pursuant to § 205.681? Table of Contents				
§ 205.663 Does the notification to reject the request of mediation advise the operation that an appeal must be requested within 30 days of the date of the written rejection of mediation? Table of Contents				
§ 205.663 If the certifier accepted the mediation request, did the certifier send a settlement agreement to the operator for consideration with its mediation acceptance letter (informal mediation)? Table of Contents <i>(When a certifier accepts mediation, the certifier can send a settlement agreement to the operator for consideration with its mediation acceptance letter.)</i>				

²³ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

²⁴ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.663 Mediation

Mediation procedures are applicable to certified operations that have received a denial of certification, a notification of proposed suspension, a notification of proposed revocation, or a notification of noncompliance that is combined with a denial, proposed suspension, or proposed revocation. Mediation procedures do not apply to operations that have received a notification of noncompliance with no adverse action.

CHECKLIST SECTION XIII	Complies ²³			Remarks ²⁴
	Yes	No	N/A	
<p>§ 205.663 If the certifier accepted the mediation request and sent a settlement agreement to the operator for consideration with its mediation acceptance letter, was it clear that the operator was free to: accept or reject the settlement agreement; come back to the certifier for continued informal discussion; or request a more formal mediation process, to discuss terms that are agreeable to both parties (informal mediation)? Table of Contents (The proposed settlement may be included as an alternative to an adverse action, but <u>cannot</u> be included in the adverse action notices.)</p>				
<p>§ 205.663 If the certifier accepted the mediation request, was the mediation conducted by a qualified mediator mutually agreed upon by the parties to the mediation? Table of Contents</p>				
<p>§ 205.663 Is an agreement reached no more than 30 days following the mediation session? Table of Contents</p>				
<p>§ 205.663 Any agreement reached during or as a result of the mediation process shall be in compliance with the Act and the regulations in this part: If a settlement agreement is reached, does it comply with the Act and the regulations in this part and include the NOP best practices for the agreement to include: the parties involved in the agreement</p>				



§ 205.663 Mediation

Mediation procedures are applicable to certified operations that have received a denial of certification, a notification of proposed suspension, a notification of proposed revocation, or a notification of noncompliance that is combined with a denial, proposed suspension, or proposed revocation. Mediation procedures do not apply to operations that have received a notification of noncompliance with no adverse action.

CHECKLIST SECTION XIII	Complies ²³			Remarks ²⁴
	Yes	No	N/A	
(Name of certifier, operator, operation and responsibly connected party); corrective actions agreed to by the operator; the outcome; the timeframe by which the corrective actions will be completed; effective date the agreement will take effect; and signatures by the authorized representatives of the certifier <u>and</u> the certified operation ? Table of Contents				
§ 205.663 If mediation is unsuccessful, is the operation informed they have 30 days from termination of mediation to appeal the certifier's decision pursuant to § 205.681? Table of Contents				

§ 205.670 Inspection and Testing § 205.671 Exclusion from Organic Sale

§ 205.504(b)(6) requires that the certifier have procedures for sampling and residue testing. Procedures should address the requirements of § 205.670. Evaluate procedures under [§ 205.504\(b\)\(6\)](#); Checklist Section IX.

CHECKLIST SECTION XIV	Complies ²⁵			Remarks ²⁶
	Yes	No	N/A	
References: NOP 2610 Sampling Procedures for Residue Testing NOP 2611 Laboratory Selection Criteria For Pesticide Residue Testing NOP 2611-1 Prohibited Pesticides for NOP Residue Testing NOP 2613 Responding to Results from Pesticide Residue Testing				

²⁵ For each requirement, use an "X" to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

²⁶ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.670 Inspection and Testing
§ 205.671 Exclusion from Organic Sale

§ 205.504(b)(6) requires that the certifier have procedures for sampling and residue testing. Procedures should address the requirements of § 205.670. Evaluate procedures under [§ 205.504\(b\)\(6\)](#); Checklist Section IX.

CHECKLIST SECTION XIV	Complies²⁵			Remarks²⁶
	Yes	No	N/A	
§ 205.403(e)(1) Does the inspector provide the operation with a receipt for the samples taken at the time of the inspection? Table 7b B Table of Contents				Yes – as documented on Table 7b , operations were provided receipts for samples taken. No – as documented on Table 7b , not all operations were provided receipts for samples taken.
§ 205.403(e)(1) Is there any objective evidence that inspectors were charged for the samples taken?				
§§ 205.670(b) and (c) Was the testing paid for by the requesting official (Administrator or State) or the certifier? Table 7b H Table of contents				Yes – as documented on Table 7b , testing was paid for by the requesting official and not the charged to the operations. No – as documented on Table 7b , not all testing was paid for by the requesting official and was charged to the operation(s).



<p>§ 205.670(d) Were at least 5% of certified operations sampled and tested on an annual basis (or at least one operation annually if certifier has fewer than thirty operations)? Table 7a Table of contents</p>				<p>Yes – as documented on Table 7a, at least 5% of the certified operations were sampled and tested on an annual basis.</p> <p>or</p> <p>Yes – as documented on Table 7a, at least one certified operation was sampled and tested annually because the certifier has fewer than thirty operations.</p> <p>No – as documented on Table 7a, at least 5% of the certified operations were not sampled and tested on an annual basis.</p> <p>or</p> <p>No – as documented on Table 7a, the certifier has fewer than thirty operations and did not sample and test from at least one certified operation annually.</p>
<p>§ 205.670(e) Are samples collected by an inspector representing the certifier, State, or Administrator as applicable? Table 7b A Table of contents</p>				<p>Yes – as documented on Table 7b, samples were collected by an inspector representing the certifier, State, or</p>



			Administrator as applicable.
			No – as documented on Table 7b , not all samples were collected by an inspector representing the certifier, State, or Administrator as applicable.
<p>§ 205.670(e) Is chain of custody maintained? Table 7b C Table of contents</p>			<p>Yes – as documented on Table 7b, chain of custody was maintained.</p> <p>No – as documented on Table 7b, chain of custody was not maintained for all samples.</p>
<p>§ 205.670(e) Is the sample submitted to an ISO 17025 accredited lab? Table 7b D Table of contents</p> <p>Or an alternate standard approved by the NOP? NOP 2611 – Table 7b D</p>			<p>Yes – as documented on Table 7b, samples were submitted to an accredited or NOP-approved lab.</p> <p>No – as documented on Table 7b, not all samples were submitted to an accredited or NOP-approved lab.</p>
<p>§ 205.670(e) Is the sample tested in accordance with the methods described in the most current edition of the <i>Official Methods of Analysis of the AOAC International</i> or other current applicable validated</p>			<p>Yes – as documented on Table 7b, samples were tested in accordance with an</p>



<p>methodology? Table 7b E Table of contents</p>				<p>approved AOAC or other validated methodology.</p> <p>No – as documented on Table 7b, not all samples were tested in accordance with an approved AOAC or other validated methodology.</p>
<p>§§ 205.670(f) Are test results available for public access, unless the testing is part of an ongoing compliance investigation? Table of contents</p>				
<p>§§ 205.402(b)(3) and 205.403(e)(2) Is a copy of the test results provided to the applicant or certified operation? Table 7b F Table of Contents (§ 205.402) or Table of Contents (§ 205.403)</p>				<p>Yes – as documented on Table 7b, a copy of the test results was provided to the applicants and/or certified operations.</p> <p>No – as documented on Table 7b, copies of test results were not provided to all applicants and/or certified operations.</p>
<p>§ 205.670(g) If test results indicate a specific agricultural product contains pesticide residues or environmental contaminants that exceed the FDA's or EPA's regulatory tolerance, did the certifier promptly report such data to the applicable agency whose regulatory tolerance or action level was exceeded? <i>(Test results that exceed federal regulatory tolerances must also be reported to the appropriate State health agency or foreign equivalent.)</i> Table 7b I and J Table of contents</p>				<p>Yes – as documented on Table 7b, test results that exceeded the FDA's or EPA's regulatory tolerance were promptly reported to the applicable agency and the appropriate State health agency</p>



				<p>whose regulatory tolerance or action level was exceeded.</p> <p>No – as documented on Table 7b, not all test results that exceeded the FDA’s or EPA’s regulatory tolerance were promptly reported to the applicable agency or appropriate State health agency whose regulatory tolerance or action level was exceeded.</p> <p>N/A – as documented on Table 7b, there were no test results that exceeded the FDA’s or EPA’s regulatory tolerance.</p>
<p>§ 205.671 Is there a prohibited substance detected that is greater than 5% of the EPA tolerance for the residue or greater than the unavoidable residual environmental contamination (UREC) level and is the product allowed to be represented as organic? Table 7b K Table of Contents</p>				<p>Yes (ACA does not comply) – as documented on Table 7b, when test results verified there was a prohibited substance detected that was greater than 5% of the EPA tolerance or greater than the UREC level, the product was allowed to be represented as organic.</p>



				<p>No (ACA Complies) – as documented on Table 7b, when test results verified there was a prohibited substance detected that was greater than 5% of the EPA tolerance or greater than the UREC level, the product was not allowed to be represented as organic.</p> <p>N/A – as documented on Table 7b, there were no test results where a prohibited substance was detected that was greater than 5% of the EPA tolerance or greater than the UREC level.</p>
<p>§ 205.671 Are investigations conducted to determine the cause of the prohibited substance? Table 7b P</p>				



§ 205.672 Emergency Pest or Disease Treatment

If there is no instance of a prohibited substance applied due to a Federal or State emergency pest or disease treatment program identify with an “X” in the N/A column, and include a statement in Remarks column. These requirements only apply in the United States and not in other countries.

CHECKLIST SECTION XV	Complies ²⁷			Remarks ²⁸
	Yes	No	N/A	
§ 205.672 Is there any instance where a prohibited substance was applied to a certified operation due to a Federal or State emergency pest or disease treatment program? Table of Contents				
If a prohibited substance is applied to a certified operation due to a Federal or State emergency pest or disease treatment program and the certified operation otherwise meets the requirements of this part, the certification status of the operation shall not be affected as a result of the application of the prohibited substance: Provided, That:				
§ 205.672(a) Any harvested crop or plant part to be harvested that has contact with a prohibited substance cannot be sold, labeled, or represented as organically produced. Table of Contents				
§ 205.672(b) Any livestock that are treated with a prohibited substance or product derived from treated livestock, cannot be sold, labeled, or represented as organically produced. Table of Contents				
Except that:				
§ 205.672(b)(1) Milk or milk products may be sold, labeled, or represented as organically produced beginning 12 months following the last date that the dairy animal was treated with the prohibited substance; and Table of Contents				

²⁷ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

²⁸ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.672 Emergency Pest or Disease Treatment

If there is no instance of a prohibited substance applied due to a Federal or State emergency pest or disease treatment program identify with an “X” in the N/A column, and include a statement in Remarks column. These requirements only apply in the United States and not in other countries.

CHECKLIST SECTION XV	Complies ²⁷			Remarks ²⁸
	Yes	No	N/A	
§ 205.672(b)(2) The offspring of gestating mammalian breeder stock treated with a prohibited substance may be considered organic: <i>Provided that</i> , the breeder stock was not in the last third of gestation on the date that the breeder stock was treated with the prohibited substance. Table of Contents				

§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier’s participation in the arrangements in the body of the audit report, under the heading “International Agreements.”

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
References: NOP 2403 Certifying Agents Approved to Issue TM-11 Export Certificates under an Export Arrangement between the USDA and a Foreign Government				
EU – U.S. Organic Equivalency Arrangement Please mark “N/A” if the certifier does not have any current clients shipping to the EU or receiving product from the EU.				
Are the certifier and applicable staff aware of the requirements for exporting to the EU? Program requirements can be accessed on the NOP Web site . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				

²⁹ For each requirement, use an “X” to identify whether the certifier complies, does not comply, or that a requirement is not applicable.

³⁰ Provide explanations and/or comments to present evidence of compliance or noncompliance, as applicable. If a requirement is not applicable include why it does not apply.



§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier's participation in the arrangements in the body of the audit report, under the heading "International Agreements."

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
Is the arrangement limited to organic products certified under the NOP which were produced or had final processing or packaging within the U.S.? Table of Contents				
Does the certifier provide an EU Certificate of Inspection (EU Import Certificate) to certified operations wishing to export to the EU so that it is transferred with the product(s)? Table of Contents				
If applicable did the certifier verify that organic apples, pears, and organic ingredients from organic apples and pears were produced without the use of antibiotics (<i>streptomycin for fire blight control</i>) for at least three (3) years prior to the harvest of the organic apples and pears? Table of Contents				
If applicable did the certifier verify that wine exported to the EU was: 1) produced using organic varieties of grapes and organic ingredients; 2) contained only nonorganic substances allowed under § 205.605; and 3) produced only using the wine-making practices and substances detailed in the EU organic regulations ? Table of Contents				
For retail products did the certifier verify general EU labeling requirements and that the labels contained the code assigned to them by the EU? EU Certifier Codes EU Labeling Requirements Table of Contents				



§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier's participation in the arrangements in the body of the audit report, under the heading "International Agreements."

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
For bulk products did the certifier verify general EU labeling requirements and that there was a lot number present to allow for a complete audit trail and to verify the product's integrity? EU Labeling Requirements Table of Contents				
For certified operations that receive product(s) from the EU, did the certifier verify (either through file review and/or onsite inspection) that the NOP Import Certificate was received with the product(s) to provide verification that incoming product meets the terms of the arrangement and is, therefore, eligible for use as an ingredient or a product to repack or to be sold as is in the U.S.? Table of Contents				
Switzerland – U.S. Organic Equivalency Arrangement				
Please mark "N/A" if the certifier does not have any current clients shipping to Switzerland or receiving product from the Switzerland.				
Are the certifier and applicable staff aware of the requirements for exporting to the Switzerland? Program requirements can be accessed on the NOP Web site . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				
Is the arrangement limited to organic products certified under the NOP which were produced or had final processing or packaging within the U.S.? Table of Contents				
Does the certifier provide a Swiss Certificate of Inspection (Swiss Import Certificate) to certified operations wishing to export to Switzerland so that it is transferred with the product(s)? Table of Contents				



§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier's participation in the arrangements in the body of the audit report, under the heading "International Agreements."

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
If applicable did the certifier verify that wine exported to Switzerland was produced only using the wine-making practices and substances detailed in the Swiss organic ordinances ? Table of Contents				
For retail products did the certifier verify general Swiss labeling requirements and that the labels contained the code assigned to them by the Swiss authority? Swiss Certifier Codes Swiss Labeling Requirements				
For bulk products did the certifier verify general Swiss labeling requirements and that there was a lot number present to allow for a complete audit trail and to verify the product's integrity? Swiss Labeling Requirements Table of Contents				
For certified operations that receive product(s) from Switzerland, did the certifier verify (either through file review and/or onsite inspection) that the NOP Import Certificate was received with the product(s) to provide verification that incoming product meets the terms of the arrangement and is, therefore, eligible for use as an ingredient or a product to repack or to be sold as is in the U.S.? Table of Contents				
U.S. – Canada Organic Equivalency Arrangement (USCOEA) Please mark "N/A" if the certifier does not have any current clients shipping to Canada or receiving product from Canada.				



§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier's participation in the arrangements in the body of the audit report, under the heading "International Agreements."

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
Are the certifier and applicable staff aware of the requirements for exporting to Canada? Program requirements can be accessed on the NOP website . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				
Did the certifier verify agricultural products exported to Canada were not produced with the use of sodium nitrate? Table of Contents				
Did the certifier verify agricultural products exported to Canada were not produced by hydroponic or aeroponic production methods? Table of Contents				
Did the certifier verify agricultural products derived from animals (<u>with the exception of ruminants</u>) were produced according to livestock stocking rates as set out in CAN /CGSB32.310-2006 ? Table of Contents				
Did the certifier verify agricultural products being sold or shipped to Canada and received from Canada under the arrangement are accompanied by an attestation statement (<i>Certified in compliance with the terms of the U.S.-Canada Organic Equivalency Arrangement</i>) per NOP PM 10-3? Include how the requirement is met. Did the certifier include "USCOEA compliant" or some variation on the certified operation's certificate, or did the certifier provide attestation statements to the operation rather than allowing the operation to do so themselves. Table of Contents				



§ 205.500(c)(2) International Agreements

For certifiers involved in any of the international agreements, please provide details of the review process in place and include a summary of the certifier's participation in the arrangements in the body of the audit report, under the heading "International Agreements."

CHECKLIST SECTION XVI	Complies ²⁹			Remarks ³⁰
	Yes	No	N/A	
Did the certifier verify that labels meet the requirements of the destination country, to include that for retail products? Labels or stickers must state the name of the U.S. or Canadian certifier (may use the USDA organic seal or the Canada Organic Biologique logo), and all product labels must be in English and French? U.S.-Canada Agreement labeling requirements Table of Contents				
Did the certifier verify that labels meet the requirements of the destination country, to include a lot number for wholesale products? U.S.-Canada Agreement labeling requirements Table of Contents				



U.S. - Korea Organic Equivalency Arrangement				
Please mark "N/A" if the certifier does not have any current clients shipping to Korea.				
Are the certifier and applicable staff aware of the requirements for exporting to Korea? Program requirements can be accessed on the NOP Web site . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				
Were all NAQS Import Certificates issued only for USDA organic products that were produced within the U.S. or had their final processing or packaging occur within the U.S.? Table of Contents				
Were all NAQS Import Certificates issued only for processed products as defined by the Korean Food Code? Table of Contents				
Were all NAQS Import Certificates issued only for products that contain at least 95% organic ingredients? Table of Contents				
Did all NAQS Import Certificates issued include the statement, "Certified in compliance with the terms of the US-Korea Organic Equivalency Arrangement"?				
Did the certifier verify that processed products exported to Korea did not contain apples or pears produced with the use of antibiotics? Table of Contents				
Did the certifier verify that labels on products exported to Korea meet MAFRA's organic labeling requirements? (product may display the USDA organic seal and/or Korean organic logo) Table of Contents				



For certified operations that receive product(s) from Korea imported under the equivalency arrangement, did the certifier verify (either through file review and/or onsite inspection) that the NOP Import Certificate issued by MAFRA-accredited certification body was received with the product(s) to provide verification that incoming product meets the terms of the arrangement and is, therefore, eligible for use as an ingredient or a product to repack or to be sold as is in the U.S.? Table of Contents				
U.S. - Japan Organic Equivalency Arrangement Please mark "N/A" if the certifier does not have any current clients shipping to Japan.				
Were all TM-11 Export Certificates issued for Japan only for USDA organic products that were produced within the U.S. or had their final processing or packaging occur within the U.S.? Table of Contents <i>All USDA-accredited certifiers may issue TM-11 certificates to Japan.</i> Table of Contents				
Are the certifier and applicable staff aware of the requirements for exporting to Japan? Program requirements can be accessed on the NOP Web site . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				
Did the certifier assign a unique identification number to each export certificate? The unique identification number must begin with an acronym designating the certifier and the country code for the specific export arrangement. Table of Contents				
Does the certifier keep a paper-based or electronic control log that records and tracks the disposition of each export certificate? Table of Contents				



<p>Did the certifier designate a staff person to authorize the issuance of the export certificate and attest to its authenticity by affixing his/her signature to the certificate, as well as who is responsible for all aspects of the issuance of the export certificate, including ensuring security of blank export certificates and oversight of the control log?</p> <p>Table of Contents</p>				
<p>Were export certificates issued for all organic plants, including fungi, and plant-based processed products that were exported to Japan?</p> <p><i>Export certificates aren't required for products not regulated by the JAS law, such as meat, dairy products, honey, or alcoholic beverages. However, alcoholic beverages labeled with the word "organic" in Japanese must be accompanied by an export certificate that includes:</i></p> <ul style="list-style-type: none"> • <i>the name of the certified alcoholic beverage;</i> • <i>the name and address of the certified farm or brewery;</i> • <i>the number and date of certification;</i> • <i>the address and name of the operator;</i> • <i>the country of origin; and</i> • <i>the name and address of the certifying body.</i> <p>Table of Contents</p>				
<p>Did all organic plants, including fungi, and plant-based processed products (such as grape juice or cornmeal) that were exported to Japan labeled with the JAS organic seal?</p> <p><i>Products not regulated by the JAS law—such as meat, dairy products, or alcoholic beverages, <u>cannot</u> be labeled with the JAS organic seal under the terms of the arrangement.</i></p>				
<p>Did the U.S.-based farm or business who applied the JAS organic seal to its products in the U.S. have a contract with a JAS certified importer, or in cases where the U.S. operation did not have a contract with a JAS certified importer, was the seal applied by the JAS certified importer once the product arrived in Japan?</p> <p>List of JAS Certified Importers</p> <p>Table of Contents</p>				



Export Arrangement with Taiwan

Please mark "N/A" if the certifier does not have any current clients shipping to Taiwan.

If the certifier has issued any TM-11 Export Certificates, are they on the NOP's list of certifiers approved to issue a certificate under an export arrangement? § 205.501(a)(21) Table of Contents				
Were all TM-11 Export Certificates issued only to U.S. certified operations selling and/or shipping to Taiwan? Table of Contents				
Are the certifier and applicable staff aware of the requirements for exporting to Taiwan? Program requirements can be accessed on the NOP Web site . Table of Contents				
Does the certifier have a system in place to review and verify the terms of the arrangement? Table of Contents				
Did the certifier incorporate the compliance requirements of the applicable export arrangement into its quality manual under the heading "Requirements for export of U.S. organic raw and processed agricultural products to (insert country name)?" Table of Contents				
Did the certifier assign a unique identification number to each export certificate? The unique identification number must begin with an acronym designating the certifier and the country code for the specific export arrangement. List of certifiers Table of Contents				
Does the certifier keep a paper-based or electronic control log that records and tracks the disposition of each export certificate including those issued, voided, or destroyed? Table of Contents				



Did the certifier designate a staff person to authorize the issuance of the export certificate and attest to its authenticity by affixing his/her signature to the Certificate, as well as who is responsible for all aspects of the issuance of the export certificate, including ensuring security of blank export certificates and oversight of the control log? Table of Contents				
Did all export certificates that were issued under the <u>Taiwan</u> arrangement for processed products and crops have the required statement, “ <i>Organic agricultural products and organic processed products, accompanied by this certificate, were produced or processed using zero prohibited substances</i> ”? Table of Contents				
Did all export certificates that were issued under the <u>Taiwan</u> arrangement for livestock and meat products have the required statement, “ <i>Organic livestock products accompanied by this certificate, were managed and produced without the use of systemic pain killers or analgesics, including the use of Lidocaine or Procaine</i> ”? Table of Contents				



5. CLOSING MEETING

The purpose of the closing meeting is to present the assessment findings and conclusions in such a manner that the client can understand and acknowledge them.

- ☐ Sign out on the attendance list ([see beginning of checklist](#)).
- ☐ Present positive aspects of the certification program.
 - ☐ Positive Aspect (1) –
 - ☐ Positive Aspect (2) –
 - ☐ Positive Aspect (3) –
- ☐ Present any items that require further guidance and consideration by the NOP.
 - ☐ Pending Item (1) –
 - ☐ Pending Item (2) –
- ☐ Present the assessment findings and conclusions in a manner so they are understood and acknowledged by the auditee. For each finding, cite the specific requirement of the assessment criteria and allow the auditee to ask questions on any findings.
- ☐ Discuss the next steps in the process:
 - 1) The report is written and sent to the NOP for review.
 - 2) The NOP reviews the report and determines the compliance / noncompliance of the program and makes all decisions concerning the accreditation. The NOP has the discretion to modify the assessment findings.
 - 3) The report is issued to the client by the NOP.
- ☐ Provide information about the NOP appeals process (§ 205.681(b)).
- ☐ Encourage feedback. Clients can submit feedback to AIAInBox@ams.usda.gov.
Provide the certifier with the NOP Auditor Evaluation form to complete.

6. FINDINGS: Findings must be in NC report format prior to the auditor submitting the checklist to the NOP.

[Table of Contents](#) [Table 1](#) [Table 2](#) [Table 3](#) [Table 4](#) [Table 5](#) [Table 6a](#) [Table 6b](#) [Table 6c](#) [Table 7a](#) [Table 7b](#) [Table 8](#)

a. Noncompliances issued prior to this audit – Cleared (or remain Outstanding)

- ☐ NC -

b. Findings identified during current audit

- ☐ F1 -

- ☐ F2 -



-
- ☐ F3 -
 - ☐ F4 -
 - ☐ F5 -
 - ☐ F6 –

7. **OBSERVATIONS:**

In this section, the auditor may insert comments and/or remarks on any part of the audit that will assist the reviewers in determining certifier compliance. The auditor may also use this section to ask for clarification on specific issues identified during the audit.

REMINDER: This completed NOP 2005 checklist must be submitted to AIA within 30 days of the audit completion.

[Back to Closing Meeting process](#)



National Organic Program File Review Worksheets

Table 1: General Certification File Review Information

[Table of Contents](#) [Table 2](#) [Table 3](#) [Table 6a](#) [Table 6b](#) [Table 6c](#)

File No.	Name of applicant/certified operation sampled	A Date application received	B Date of review § 205.402(b)(1) § 205.406(b)	C Review conducted by	D Inspection date § 205.403(b)(1) § 205.406(b)	E Inspection conducted by	F Date of final review (for applicants § 205.404(a))	G Final review conducted by	H Date certification decision made	I Certification decision made by	J Date findings sent to operation § 205.402(b)(1)
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											

Instructions: Enter dates in the mm/dd/yy format.

Remarks and Findings: [Closing Meeting Findings § 205.501\(a\)\(11\)\(vi\)](#)



Table 2: Summary of Certification File Review Information
[Table of Contents](#) [Table 1](#) [Table 3](#) [Table 6a](#) [Table 6b](#) [Table 6c](#) [Table 7b](#)

File No.	A Scope requested	B Scope granted (L, C, WC, H)	C IA/AU	D Sample (Y/N)	E Labels (Y/N)
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

Instructions: For each requirement (A-E), enter the appropriate information into **Table 2**. Make sure the information provided in Table 2 is entered into the corresponding File No. in Table 1.

A. Scope requested (L, C, WC, H)

B. Scope granted (L, C, WC, H): *For crop operations, include a description about the type of crop and operation such as single crop, parallel production, split production, etc. For livestock operations, include a description about the type of livestock and operation. For handling operations, include a description of the type of products and operation such as single ingredient product, multi ingredient products, trader, distributor, etc. For wild crop operations, include a description of the type of products and operation such as single products, organic and nonorganic of the same product in the collection area, single harvester or multiple harvesters, collection areas, staging areas, production areas, and management and oversight of harvester.*

C. Initial Application (IA) or Annual Update (AU)

D. Was a sample pulled during the inspection? (Y/N)

If samples were pulled, include information in [Table 7b](#). Sampling Worksheet - Sample and Reporting Information.

E. Are any labels used by the operation? (Y/N)

If there are labels, include information in [Table 6a](#), [6b](#), or [6c](#) Label Review Worksheet.



United States Department of Agriculture
Agricultural Marketing Service
National Organic Program

1400 Independence Avenue SW.
Room 2648 South Building
Washington, DC 20250

NOP 2005
Effective Date: 10/29/15
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Table 2: Summary of Certification File Review Information					
Table of Contents Table 1 Table 3 Table 6a Table 6b Table 6c Table 7b					
File No.	A Scope requested	B Scope granted (L, C, WC, H)	C IA/AU	D Sample (Y/N)	E Labels (Y/N)
Remarks and Findings: Closing Meeting Findings					



Table 3: Summary of Full File Reviews [Table of Contents](#)

Instructions: This Checklist is used in conjunction with [Table 1](#) and [Table 2](#). This Checklist is used only to record the overall evaluation of files where a full file review was conducted.

Use the certification file number as recorded in the Certification File Review Worksheet to identify the certification file(s). If a requirement is not applicable, include relevant information in the “Remarks” for that section.

This Checklist is not used to record the overall evaluation of full file reviews for Grower Groups. Instead, the Certification File Review Checklist—Supplement for Grower Groups must be used.

Fees and other charges for certification § 205.642

	Yes	No	Certification File Number(s)
Is the operation provided with an estimate? § 205.642			
Are the fees charged consistent with the Fee Schedule submitted to the Administrator? § 205.642 – same; § 205.642 – consistent; § 205.501(a)(16)			

Certificate [§ 205.404\(b\)](#)

Does the certificate include:	Yes	No	Certification File Number(s)
Name and address of the certified operation? § 205.404(b)(1)			
“Effective date of certification”? § 205.404(b)(2) (Date the operation was initially certified to the USDA organic regulations.)			
Scope – Categories of organic operation, including crops, wild crops, livestock, or processed products produced by the certified operation? § 205.404(b)(3)			
Name, address, internet address, and telephone number of the certifier? § 205.404(b)(4)			
Issue date of the certificate? NOP 2603			
Anniversary date? NOP 2603 (Date when the certified operation is required to submit its next annual update.)			
Label classification for processed organic products? (100% Organic, Organic, or Made with Organic (specified ingredients or food groups)) NOP 2603			
The statement “Certified Organic under the U.S. National Organic Program 7 CFR Part 205”? NOP 2603			



The statement “Once certified, a production or handling operation’s organic certification continues in effect until surrendered, suspended or revoked”? §205.404(c); NOP 2603			
Are certificates issued in English? NOP 2603			
Do certificates include more than one certified operation or an uncertified operation on them?			
Remarks and Findings: Closing Meeting Findings			

Application § 205.401 Table of Contents Table 1 Table 2			
Does the application include:	Yes	No	Certification File Number(s)
The name of person completing the application; The applicant’s business name; The applicant’s address; The applicant’s telephone number; and If a corporation, the name, address, and telephone number of the person authorized to act on the applicant’s behalf? § 205.401 – Application Requirement § 205.402(a)(1) – Review for completeness § 205.402(a)(2) – Review for compliance			
Information on previous certifications? §205.401(c) § 205.402(a)(3) – ACA review for compliance			
Other information deemed necessary by the ACA to determine compliance with the ACT? § 205.401(d)			
Remarks and Findings: Closing Meeting Findings			



Organic System Plan (OSP) § 205.401(a) and § 205.406(a)			
Does the OSP include (§§ 205.201(a)(1)-(6)):	Yes	No	Certification File Number(s)
A description of practices and procedures to be performed and maintained, including the frequency with which they will be performed? §§ 205.200; 205.202 - 205.207; 205.236 – 205.240; and 205.270 – 205.272			
A list of each substance to be used as a production input, indicating its composition, source, location(s) where it will be used, and documentation of commercial availability, as applicable?			
A description of the monitoring practices and procedures to be performed and maintained, including the frequency with which they will be performed, to verify that the plan is effectively implemented?			
A description of the recordkeeping system implemented to comply with the requirements established in § 205.103?			
Does the OSP include a description of the management practices and physical barriers established to prevent commingling of organic and nonorganic products on a split operation and to prevent contact of organic production and products with prohibited substances?			
Additional information deemed necessary by the certifier to evaluate compliance with the regulations?			
Allowing an uncertified operation to produce or handle agricultural products, under contract or other arrangement, on the uncertified operation's land or premises (i.e., at units, facilities, or sites not explicitly subject to inspection or compliance action by the NOP or a certifier)? NOP 4009 Instruction Who Needs to be Certified			
NOP 5031 –Certification Requirements for Handling Unpackaged Organic Products			
Does the OSP contain information on how organic product is transported to and from the organic operation as applicable?			
Does the company bringing in or shipping the product handle <u>unpackaged</u> organic product?			
If the company handles unpackaged organic product and they take ownership of the product, are they certified?			
If the company handles unpackaged organic product and they <u>do not</u> take ownership are they: 1) a certified operation; or 2) part of the OSP of the certified seller or buyer?			



If the company is part of the OSP of the seller or buyer, does the seller/buyer have adequate records to document compliance with the organic regulations?			
Remarks and Findings: Closing Meeting Findings			

Continuing Certification: Did the certified operation submit an updated OSP that includes: §§ 205.406(a)(1)-(4) Table of Contents General Information Section	Yes	No	Certification File Number(s)
A summary statement, supported by documentation detailing any deviations from, changes to, modifications to, or other amendments made to the previous year's organic system plan during the previous year?			
Any additions or deletions to the previous year's organic system plan, intended to be undertaken in the coming year, detailed pursuant to § 205.200?			
Any additions to or deletions from the information required pursuant to § 205.401(b)?			
An update on the correction of minor noncompliances previously identified by the certifier as requiring correction for continued certification?			
Other information as deemed necessary by the certifier to determine compliance with the Act and the regulations.			
Remarks and Findings: Closing Meeting Findings			
General Assessments:	Yes	No	Certification File Number(s)
Are the materials and inputs used in compliance with the NL and annotations? §§ 205.403(c)(3) , 205.402(a)(2) , 205.406(c)			
What is the certifier's process for conducting material reviews and making determinations on allowable vs. prohibited substances for those substances that have not been reviewed and approved by another entity, i.e., certifier, EPA, ISO Guide 65 accredited material evaluation program?			



§§ 205.402(a)(2) , 205.406(c) Policy Memo 11-4			
Does the staff conducting the material reviews have the appropriate training, experience, and/or education to conduct the reviews along with appropriate resources? §§ 205.501(a)(1) , 205.501(a)(4) , 205.501(a)(5)			
Is the application and OSP complete? §§ 205.402(a)(1) , 205.406(c)			
Is there evidence that an exit interview was conducted? § 205.403(d)			
Was information or issues of concern identified by the inspector in the exit interview, as evidenced in the inspection report? § 205.403(d)			
Were there any notices of noncompliance or adverse actions by the certifier, and was the correct process followed? Table 4 , Table 5			
If this was a continuation of certification review and any information on the certificate changed, did the certifier provide the operation with an updated certificate? § 205.406 (d)			
Remarks and Findings: Closing Meeting Findings			

Overall Determination Statement: Include a statement based on an overall determination on whether the operation meets the following as applicable: the crop production standards (§§ 205.200 through 205.206); wild crop production standards (§ 205.207); livestock production standards (§§ 205.236 through 205.240); handling production standards (§§ 205.270 through 205.272); and applicable guidance documents in the NOP Program Handbook. Include a statement on whether the initial review, inspection, and final decisions were in compliance with the requirements.



Table 4: Notice of Noncompliance/Adverse Action Worksheet

[Table of Contents](#) [§ 205.406\(c\)](#) [§ 205.662\(a\)](#) [Table 3](#)

Name of Client and Scope	Notification of Minor Issues (Enter Yes, No, or N/A as applicable)	Notification of Noncompliance (Enter Yes, No, or N/A as applicable)				Type of Proposed Adverse Action (Enter PS, PR, or N/A as applicable)	Notification of Proposed Adverse Action				Adverse Action Taken	Request for Mediation or Appeal, and Remarks
	<ul style="list-style-type: none">• Description of Minor Issue• Facts of Each Minor Issue• Date to Rebut or Correct• Resolution	Description of NC § 205.662(a)(1)	Facts of Each NC § 205.662(a)(2)	Date to Rebut or Correct § 205.662(a)(3)	Resolution Notice Sent § 205.662(b)	<ul style="list-style-type: none">• Proposed Suspension (PS)• Proposed Revocation (PR)• N/A – none sent § 205.662(c)	Reasons for proposed action § 205.662(c)(1)	Proposed Eff. Date § 205.662(c)(2)	Impact of proposed action § 205.662(c)(3)	Right of mediation or appeal § 205.662(c)(4)	Suspension (Susp) Revocation (Rev) § 205.662(e)(1) Enter Revocation or suspension if applicable	Did the certified operation request mediation or file an appeal? If so did the certifier or State send the notice of Suspension / Revocation while final resolution of either mediation or appeal was pending? § 205.662(e)(2) Enter remarks as appropriate. <u>Document:</u> 1) when Notices were submitted to the client and the method used (§ 205.660(d)); and 2) when and if the notices were sent to the Administrator (§205.501(a)(15(i))).



Table 4: Notice of Noncompliance/Adverse Action Worksheet

[Table of Contents](#) [§ 205.406\(c\)](#) [§ 205.662\(a\)](#) [Table 3](#)

Name of Client and Scope	Notification of Minor Issues (Enter Yes, No, or N/A as applicable)	Notification of Noncompliance (Enter Yes, No, or N/A as applicable)				Type of Proposed Adverse Action (Enter PS, PR, or N/A as applicable)	Notification of Proposed Adverse Action				Adverse Action Taken	Request for Mediation or Appeal, and Remarks
	<ul style="list-style-type: none"> • Description of Minor Issue • Facts of Each Minor Issue • Date to Rebut or Correct • Resolution 	Description of NC § 205.662(a)(1)	Facts of Each NC § 205.662(a)(2)	Date to Rebut or Correct § 205.662(a)(3)	Resolution Notice Sent § 205.662(b)	<ul style="list-style-type: none"> • Proposed Suspension (PS) • Proposed Revocation (PR) • N/A – none sent § 205.662(c)	Reasons for proposed action § 205.662(c)(1)	Proposed Eff. Date § 205.662(c)(2)	Impact of proposed action § 205.662(c)(3)	Right of mediation or appeal § 205.662(c)(4)	Suspension (Susp) Revocation (Rev) § 205.662(e)(1) Enter Revocation or suspension if applicable	Did the certified operation request mediation or file an appeal? If so did the certifier or State send the notice of Suspension / Revocation while final resolution of either mediation or appeal was pending? § 205.662(e)(2) Enter remarks as appropriate. <u>Document:</u> 1) when Notices were submitted to the client and the method used (§ 205.660(d)); and 2) when and if the notices were sent to the Administrator (§205.501(a)(15(i))).

Instructions:

- For livestock clients, identify the type of livestock (poultry, dairy, beef cattle, sheep, etc.).
- Start with Notifications of Noncompliance (NC) and then move on to Adverse Actions (proposed suspension or revocation, and actual suspension or revocation).
- Notifications of NC *without* Adverse Actions would have “N/A” in the “Type of Proposed Adverse Action” column; all other columns after could remain blank if N/A.
- For Notifications of NC the response *must* be “Yes” for the first 3 columns. If the certified operation demonstrates that each NC has been resolved, the response for the 4th column must also be “Yes.”
- For Notifications of Proposed Adverse Actions the response *must* be “Yes” for all 4 columns.
- Also See §§ [205.662\(d\)](#) and [205.662\(g\)](#).

Remarks and Findings: [Closing Meeting Findings](#)



Table 5: Notice of Noncompliance/Denial of Certification

[Table of Contents](#) [§ 205.405](#) [Table 3](#)

A.	B.	C.	D.	E.	F.	G.
Name of Client	Scope	Notification of Noncompliance Included § 205.405(a)	Applicant Response § 205.405(b)	Certifier Action Taken § 205.405(c)(1) § 205.405(c)(2)	Denial of Certification Included § 205.405(d)	Identify whether either of the two denial methods were used and whether they were appropriate.

Instructions:

C. Enter Yes if all 3 requirements are met: (1) a description of each NC; (2) facts upon which the notification of NC is based; and (3) date for rebuttal or CA for each NC with supporting documentation.

D. Enter the applicant's response: (1) corrected NC – submitted CA; (2) corrected NC – applied to another certifier; (3) rebutted NC; (4) no Response provided.

E. Enter action taken by the certifier: (1) reviewed CA/rebuttal and conducted inspection if necessary; (2) CA/rebuttal accepted, issued certificate; (3) CA/rebuttal not accepted, issued denial of certification; (4) no response by applicant – issued denial of certification.

F. Enter Yes if all 4 requirements are met. If any is missing, indicate which one and identify NC on the main checklist. The reason(s) for denial § 205.405(d); (1) right to reapply for certification § 205.405(d)(1); (2) right to request mediation § 205.405(d)(2); (3) right to file an appeal § 205.405(d)(3).

G. See the main checklist for guidance notes [Section V](#). (1) The certifier issued combined notice of NC and denial of certification § 205.405(a) if correction of NC is not possible. Combined notice must include requirements of §§ [205.405\(a\)](#) and 205.405(d). (2) The certifier denied certification without issuing a notification of noncompliance § 205.405(g) if the certifier had reason to believe the applicant willfully made a false statement or purposefully misrepresented the applicant's operation.

Remarks and Findings: [Closing Meeting Findings](#)



Table 6a: Label Review Worksheet: "100% Organic" or "Organic" § 205.303															
Table of Contents Table 1 Table 2 Table 4 Table 5															
Client File	Product	1	2	3	4	5	6	7	8	9	10	11	12	13 Complies	
														Yes	No
Instructions: For products labeled as "100% Organic" or "Organic," review against the requirements and record on the table using "Y," "N," or "N/A" as applicable (Y = Yes; N = No). Indicate for each label if it complied with the requirements. Insert more rows as needed.															
1. For products labeled "Organic," do the labels contain the percentage of organic ingredients in the products? § 205.303(a)(2) (If no, use N/A for 2 and 3.)															
2. Does the percentage statement exceed one half the size of the largest type size on the panel on which the statement is displayed? § 205.303(a)(2)															
3. Does the percentage statement appear in its entirety in the same type size, style, and color without highlighting? § 205.303(a)(2)															
4. Is this a multi-ingredient product labeled as 100% Organic? § 205.303(a)(3)															
5. If the product is labeled "Organic," does it identify each organic ingredient in the ingredient statement? § 205.303(b)(1)															
6. Does it identify water or salt as organic? § 205.303(b)(1)															
7. Does the label (on the information panel) identify the name of the certifier that certified the handler of the finished product, preceded by the statement, "Certified organic by * * *," or a similar phrase? § 205.303(b)(2)															
8. Is the certifier identifying statement (no. 7 above) on the information panel and below the information identifying the handler or distributor of the product? § 205.303(b)(2)															
9. Does the label display the certifier's seal or logo? § 205.303(a)(5)															
10. Is the certifier's seal or logo individually displayed more prominently than the USDA organic seal? § 205.303(a)(5)															
11. Does it display the USDA organic seal? § 205.311(a)															
12. Does the seal replicate the form and design of figure 1, is printed legibly and conspicuously, and meets all requirements of § 205.311(b)?															
13. Are the labels compliant? If 'No' and a NC was not issued, then see § 205.402(a)(2) or § 205.405(a) for applicants, and § 205.406(c) for certified operations.															
Remarks and Findings: Closing Meeting Findings															



Table 6b: Label Review Worksheet: “Made with Organic” (specified ingredients or food group(s)) § 205.303

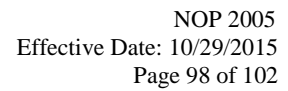
[Table of Contents](#) [Table 1](#) [Table 2](#) [Table 4](#) [Table 5](#)

Client File	Product	1	2	3	4	5	6	7	8	9	10	11	12 Complies	
													Yes	No

Instructions: For products labeled as “Made with organic (specified ingredients or food groups)” review against the requirements and record on the table using “Y,” “N,” or “N/A” as applicable (Y = Yes; N = No). Indicate for each label if it complied with the requirements. Insert more rows as needed.

1. Does the “Made with organic (specified ingredients or food groups)” statement list more than three organically produced ingredients? § 205.304(a)(1)(i)
2. Does the “Made with organic (specified ingredients or food groups)” statement list more than three of the following food groups: beans, fish, fruits, grains, herbs, meats, nuts, oils, poultry, seeds, spices, sweeteners, and vegetables or processed milk products? § 205.304(a)(1)(ii)
3. Does the “Made with organic (specified ingredients or food groups)” statement appear in letters that do not exceed one half the size of the largest type size on the panel of which it appears and does it appear in its entirety in the same type size, style, and color without highlighting? § 205.304(a)(1)(iii)
4. Does the percentage of organic ingredients statement exceed one half the size of the largest type size on the panel on which the statement is displayed? § 205.304(a)(2)
5. Does the percentage of organic ingredients statement appear in its entirety in the same type size, style, and color without highlighting? § 205.304(a)(2)
6. Does the label identify each organic ingredient in the ingredient statement? § 205.304(b)(1)
7. Does it identify water or salt as organic? § 205.304(b)(1)
8. Does the label (on the information panel) identify the name of the certifier that certified the handler of the finished product, preceded by the statement, “Certified organic by * * *,” or a similar phrase? § 205.304(b)(2)
9. Is the certifier identifying statement (no. 7 above) on the information panel and below the information identifying the handler or distributor of the product? § 205.304(b)(2)
10. Does the label display the certifier’s seal or logo? § 205.304(a)(3)
11. Does it display the USDA organic seal? § 205.304(c)
12. Are the labels compliant? If ‘No’ and a NC was not issued, then see [§ 205.402\(a\)\(2\)](#) or [§ 205.405\(a\)](#) for applicants, or [§ 205.406\(c\)](#) for certified operations.

Remarks and Findings: [Closing Meeting Findings](#)



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Instructions: For labels reviewed that are not “100% Organic”, “Organic”, or “Made with organic” enter review information below. Insert more rows as needed.

Requirements: Enter the NOP requirement (§205.305, etc.) being assessed.

Remarks: Enter general information regarding the review or specific information if label is noncompliant.

Complies: Are labels compliant? If ‘No’ and a NC was not issued, then [§205.402\(a\)\(2\)](#) or [§205.405\(a\)](#) for applicants, [§205.406\(c\)](#) for certified operations.



Table 7a: Sample Testing Worksheet: General Information

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Provide information on sampling conducted by the certifier since the previous assessment, i.e., number of certified operations; number of operations with samples pulled; number of samples pulled overall; types of samples (soil, tissue, product, water, etc.). Were 5% of the certified operations sampled and tested on an annual basis (or at least one operation annually if the certifier has fewer than thirty operations)?

[§ 205.670\(d\)](#)

Remarks and Findings: [Closing Meeting Findings](#)



Table 7b – Sample Testing and Reporting Information

[Table of Contents](#) [Table 2](#)

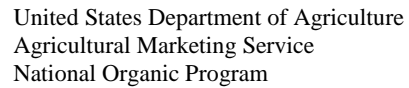
File No.	Name of applicant / certified operation sampled	A	B	C	D	E	F	G	H	I	J	K	L Type of sample pulled	M What was the sample tested for?	N Why was the sample pulled?	O Provide info on the test results	P Provide info on the certifier decision and outcome	Complies	
												Yes						No	
1																			
2																			
3																			
4																			
5																			
6																			
7																			
8																			
9																			
10																			
<p>Instructions: Review the procedures and processes that describe how the sample was pulled and the reporting requirements. For requirements A – K, enter “Y” for “Yes” or “N” for “No,” as appropriate. Make an assessment on whether or not the requirements were met by entering an “X” under the appropriate response of the “Complies” column. If any requirement is not met, identify on Checklist Section XIV (§§ 205.670 and 205.671). For requirements L – P, enter the appropriate response.</p> <p>A. Was the sample collected by an inspector representing the certifier, Administrator, or State? § 205.670(e)</p> <p>B. Did the inspector provide the operation with a receipt? § 205.403(e)(1)</p> <p>C. Was the chain of custody maintained? § 205.670(e)</p> <p>D. Was an ISO 17025 accredited lab used, or an alternate standard approved by the NOP? § 205.670(e) and NOP 2611</p> <p>E. Was an approved AOAC or Validated Method used? § 205.670(e)</p> <p>F. Were results sent to the operation? §§ 205.402(b)(3) and 205.403(e)(2)</p> <p>G. Were test results available for review during the assessment? <i>If results are not available, assess why and if appropriate, identify a NC to § 205.501(a)(9). Availability of test results for review during assessments is also identified in NOP 2613.</i></p> <p>H. Was the operation charged for testing? § 205.670(b)(c)</p> <p>I. Did the results exceed FDA or EPA tolerances? § 205.670(g)</p> <p>J. Was the applicable agency notified if “I” above is “Yes”? § 205.670(g); see NOP 2613 for further guidance</p>																			



Table 7b – Sample Testing and Reporting Information

[Table of Contents](#) [Table 2](#)

File No.	Name of applicant / certified operation sampled	A	B	C	D	E	F	G	H	I	J	K	L Type of sample pulled	M What was the sample tested for?	N Why was the sample pulled?	O Provide info on the test results	P Provide info on the certifier decision and outcome	Complies		
																		Yes	No	
K. Were any prohibited substances greater than 5% of the EPA tolerance or higher than UREC? § 205.671																				
L. What type of sample was pulled, i.e., soil, tissue, product, water, etc.?																				
M. What was the sample tested for? (Specific pesticide name or classification.)																				
N. Why was the sample pulled? (Directed by the certifier or NOP? Inspector decision?)																				
O. Provide information on test results. (Positive, negative, etc.) NOP 2613																				
P. Provide information on the certifier decision and outcome. (Was there an investigation?) § 205.671 ; see NOP 2613 for further guidance																				
Remarks and Findings: Closing Meeting Findings																				



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[§ 205.501\(a\)\(11\)\(i\)](#) [§ 205.501\(a\)\(11\)\(ii\)](#) [§ 205.501\(a\)\(11\)\(v\)](#) [§ 205.504\(a\)\(2\)](#)

Below please provide the number of personnel, divided into categories and/or job titles.
e.g., Administrative Staff (3), Technical Staff [including inspectors, reviewers] (7), etc.

Remarks and Findings: [Closing Meeting Findings § 205.501\(a\)\(1\) § 205.501\(a\)\(4\) § 205.501\(a\)\(5\) § 205.501\(a\)\(6\) § 205.501\(a\)\(11\)\(i\) § 205.501\(a\)\(11\)\(ii\) § 205.501\(a\)\(11\)\(v\) § 205.504\(a\)\(2\)](#)